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ABSTRACT

This training manual is designed to help prepare for advancement to Yeoman First Class and Chief Yeoman. Chapters cover introductory information, captain's office, "making things easier for you," drafting correspondence, ship's organization, officer separations, general courts-martial, fact finding bodies and casualty reporting, and security. Appendixes contain a grammar review and a where to find it list. (MS)

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YEOMAN 1 & C

081

NAVAL TRAINING COMMAND

RATE TRAINING MANUAL **NAVTRA 10241-F**

PREFACE

This rate training manual was prepared by the Naval Training Publications Detachment, Washington Navy Yard, Washington, D. C., for the Naval Training Command, Pensacola, Florida. Technical assistance was furnished by the Service School Commands, NTC, Bainbridge, Maryland, and San Diego, California; the Naval Examining Center, Great Lakes, Illinois; the Judge Advocate General; and various offices within the Bureau of Naval Personnel.

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THE UNITED STATES NAVY

GUARDIAN OF OUR COUNTRY

The United States Navy is responsibile for maintaining control of the sea and is a ready force on watch at home and overseas, capable of strong action to preserve the peace or of instant offensive action to win in war.

It is upon the maintenance of this control that our country's glorious future depends; the United States Navy exists to make it so.

WE SERVE WITH HONOR

Tradition, valor, and victory are the Navy's heritage from the past. To these may be added dedication, discipline, and vigilance as the watchwords of the present and the future.

At home or on distant stations we serve with pride, confident in the respect of our country, our shipmates, and our familes.

Our responsibilities sober us; our adversities strengthen us.

Service to God and Country is our special privilege. We serve with honor.

THE FUTURE OF THE NAVY

The Navy will always employ new weapons, new techniques, and greater power to protect and defend the United States on the sea, under the sea, and in the air.

Now and in the future, control of the sea gives the United S[illegible]s her greatest advantage for the maintenance of eace and for victory in war.

Mobility, surprise, dispersal, and offensive power are the keynotes of the new Navy. The roots of the Navy lie in a strong belief in the future, in continued dedication to our tasks, and in reflection on our heritage from the past.

Never have our opportunities and our responsibilities been greater.

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CHAPTER 1

THE YEOMAN

This training manual is designed to help you meet the occupational qualifications for advancement to Yeoman First Class and Chief Yeoman. Chapters 2 through 9 deal with the subject matter of the Yeoman rating. This chapter provides introductory information that will assist you in studying for advancement. It is strongly recommended that you study this chapter carefully before beginning intensive study of the remainder of the manual.

REWARDS AND RESPONSIBILITIES

Advancement brings increased rewards and responsibilities. The time to look ahead and consider the rewards and responsibilities of advancement is while you are preparing for advancement to YN1 or YNC.

By this time, you are probably well aware of many of the advantages of advancement – higher pay, greater prestige, more interesting and challenging work, and the satisfaction of getting ahead in your career field. Also, you have probably discovered that one of the most enduring rewards of advancement is the personal satisfaction you find in developing your skills and increasing your knowledge.

The Navy also benefits by your advancement. By each advancement you increase your value to the Navy in two ways – you become more valuable as a specialist in your rating, and more valuable as a person who can supervise, lead, and train others.

In large measure, your contribution to the Navy depends upon your willingness and ability to accept increasing responsibilities as you advance in rate. When you assumed the duties of a YN3, you began to accept a certain amount of responsibility for the work of others. With each advancement, you accept an increasing responsibility in military matters and in matters relating to the occupational requirements of the Yeoman rating.

Your responsibilities for military leadership are about the same as those of petty officers in other ratings, since every petty officer is a military person as well as a specialist. Your responsibilities for technical leadership are special to your rating and are directly related to the nature of your work. Managing and staffing of the ship's office is of vital importance, and it's a teamwork job; it requires a special kind of leadership ability that can only be developed by personnel who have a high degree of technical competence and a deep sense of personal responsibility.

RESPONSIBILITIES EXTEND UPWARD AND DOWNWARD

Both officers and enlisted personnel expect you to translate general orders given by officers into detailed, practical on-the-job language that can be understood and followed by relatively inexperienced personnel. In dealing with your juniors, it is up to you to see that they perform their work properly. At the same time, you must provide for the needs or problems of your people.

RESPONSIBILITY FOR TRAINING JUNIORS

Even if you have highly skilled and well trained personnel, you will find that training is necessary. You will always be responsible for

training lower rated men and women for advancement. Also, some of your best workers may be transferred, and inexperienced or poorly trained personnel may be assigned to you. Or a particular job may call for skills that none of your personnel have. These and similar problems require you to be a training specialist who can conduct formal and informal training programs to qualify personnel for advancement and who can train individuals and groups in the effective execution of assigned tasks.

RESPONSIBILITY IN WORKING WITH OTHERS

As you advance to YN1 and YNC, you will find that many of your plans and decisions affect a number of people, many of whom are not in the same department. It is important, therefore, to understand the duties and responsibilities of personnel in other ratings. Every petty officer in the Navy is a technical specialist in his own field. Learn as much as you can about the work of other ratings, and plan your work to fit the overall mission of the organization.

RESPONSIBILITY IN COMMUNICATING

As your responsibilities increase, your ability to communicate clearly and effectively must also increase. The basic requirement for effective communication is a knowledge of your own language. Use correct English in speaking and writing. The basic purpose of all communication is understanding. To lead, supervise, and train others, you must be able to speak and write in a manner which others can understand.

A second requirement for effective communication in the Navy is sound knowledge of the Navy way of saying things. Some Navy terms have been standardized for the purpose of ensuring efficient communication. When a situation calls for the use of standard Navy terminology, use it.

Another requirement of effective communication is precision in the use of technical terms. Command of the technical language of the Yeoman rating will enable you to receive and convey information accurately and to exchange ideas with others. A person who does not understand the precise meaning of terms used in connection with the work of his rating is at a disadvantage when he tries to read official publications relating to his work. He is also at a disadvantage when he participates in the service-wide examination for advancement. Although it is important for you to use technical terms correctly, it is particularly important when you are dealing with lower rated men. Inaccurate use of technical terms is confusing to inexperienced men.

KEEPING IN STEP

Practically everything in the Navy – policies, procedures, equipment, publications, etc. is subject to change and development. As a YN1 and even more as a YNC, you must keep yourself informed about all changes and developments that may effect your work.

Some changes will be called to your attention, but others you will have to look for. Strive to develop a special kind of alertness for new information. Keep up-to-date on all available sources of technical information. Above all, keep an open mind on the subject of administration.

ADVANCEMENT

In general, to qualify for advancement you must:

- Have a certain amount of time in rate.
- Complete required military and occupational training courses.
- Demonstrate your ability to perform all the practical requirements for advancement by completing the Record of Practical Factors, NavPers 1414/1.
- Satisfactorily complete the required Performance Test(s).
- Be recommended by your commanding officer.
- Pass a written examination based on the military requirements for advancement and the occupational qualifications for advancement in the Yeoman rating.

MANUAL OF QUALIFICATIONS FOR ADVANCEMENT

The Manual of Qualifications for Advancement NavPers 18068-C gives the minimum requirements for advancement in each rating. It lists the military requirements which apply to all ratings and the occupational or technical qualifications that are specific to each rating. The Quals Manual is kept current by means of numbered changes. These changes are issued more frequently than most Rate Training Manuals can be revised, therefore, the training manuals will not always reflect the latest qualifications for advancement. When preparing for advancement, you must always check the latest Quals Manual and the latest changes to be sure you know the current requirements for advancement in your rating.

When studying the qualifications for advancement it is wise to remember:

- Quals are the minimum requirements for advancement. By studying more than the required minimum, you will have a great advantage when you participate in the service-wide examination for advancement.
- Each qual has a designated pay grade – E-4 through E-9. You are responsible for meeting all quals specified for advancement to the pay grade for which you are seeking advancement, and all quals specified for lower pay grades.
- The service-wide examination for advancement to E-6 and above contain questions relating to the practical factors and the knowledge factors of both military/leadership requirements and occupational qualifications.

A special form known as the Record of Practical Factors, NavPers 1414/1, is used to record satisfactory completion of military and occupational practical factors listed in the Quals Manual. When a person demonstrates his ability to perform a practical factor, appropriate entries must be made in the date and initials columns. As a YN1 or YNC, you will be required to check the practical factor performance of lower rated men and report the results to your supervising officer.

As changes are made periodically to the Quals Manual, new forms of NavPers 1414/1 are provided when necessary. Additional space is allowed on the Record of Practical Factors for entering practical factors as they are published in changes to the Quals Manual. The Record of Practical Factors also provides space for recording demonstrated proficiency in skills within the general scope of the rating, but which are not identified as minimum qualifications for advancement. Keep this in mind when you are training and supervising lower rated personnel. If one of your men demonstrates proficiency in some skill not listed in the Yeoman quals, but which falls within the general scope of the rating, report this to the supervising officer so an appropriate entry can be made. The Record of Practical Factors should be kept in each man's service record and forwarded with the service record to his next duty station. Each man should keep a copy of the Record of Practical Factors for his own use.

BIBLIOGRAPHY FOR ADVANCEMENT STUDY NAVTRA 10052

This publication lists required and recommended training manuals and other reference material to be used by personnel working for advancement. NavTra 10052 is revised and issued annually by the Chief of Naval Training. Each revised edition is identified by a letter following the NavTra number. When using this publication, be sure you have the current edition.

The required and recommended references are listed by rate level in NavTra 10052. It is important to remember that you are responsible for all references at lower rate levels, as well as those listed for the rate to which you are seeking advancement.

Training manuals that are marked with an asterisk in NavTra 10052 are mandatory at the indicated rate levels. A mandatory training course may be completed by:

- Passing the appropriate Enlisted Correspondence Course based on the mandatory training manual.
- Passing locally prepared tests based on the information given in the mandatory training manual.
- Successfully completing an appropriate Navy school.

It is important to note that all references listed in NavTra 10052 whether mandatory or

recommended, may be used as material for the service-wide examination for advancement.

RATE TRAINING MANUALS

Rate Training Manuals are written for the specific purpose of helping personnel prepare for advancement. They are revised from time-to-time. The revision of a manual is identified by a letter following the NavTra number. You can tell whether a manual is the latest edition by checking the NavTra number and the letter following the number in the most recent edition of the List of Training Manuals and Correspondence Courses, NavTra 10061-AE.

Training manuals that are specially prepared to present information on the military requirements for advancement are:

- Basic Military Requirements (NavPers 10054).
- Military Requirements for Petty Officer 3&2 (NavPers 10056).
- Military Requirements for Petty Officer 1&C (NavPers 10057).

Each of the military requirements manuals is mandatory at the indicated rate levels. In addition to giving information on the military requirements, these three books present useful information on the enlisted rating structure; how to prepare for advancement; how to supervise, train, and lead other men; and how to meet your increasing responsibilities as you advance in rate.

Satisfactory completion of Yeoman 3&2, NavPers 10240-F is required for advancement to YN3 and YN2. If you have met this requirement by satisfactorily completing an earlier edition, you should review the "F" revision to bring yourself up-to-date. Yeoman 1&C is based on the assumption that you are familiar with the contents of Yeoman 3&2.

Training manuals prepared for other Group V ratings are often a useful source of information. Reference to these training manuals will increase your knowledge of the duties and skills of other men in your department or related fields. The manuals for Personnelmen are likely to be of interest to you.

CORRESPONDENCE COURSES

Most Rate Training Manuals are used as the basis for correspondence courses. Completion of a mandatory training manual can be accomplished by passing the correspondence course that is based on the manual. You will find it helpful to take other correspondence courses, as well as those that are based on mandatory manuals. For example, the completion of the correspondence course based on the Manual for Courts-Martial, United States, 1969 (revised edition), is strongly recommended for personnel preparing for advancement to YN1 and YNC. Correspondence courses help you master the information given in the text and also give you a good idea of how much you learned from studying the book.

Other correspondence courses you may find useful are Security of Classified Information, NavPers 10975-B1, and Investigations, NavPers 10726-5.

TRAINING FILMS

Training films are a valuable source of supplementary information. Films that may be of interest are listed in the United States Navy Film Catalog, NavAir 10-1-777.

When selecting a film, check the date of issue, since some films become obsolete rapidly. If a film is partially obsolete, it may still have sections that are useful, but it is important to point out procedures that have changed. This is especially true if you are showing a film to train personnel.

YOU – THE KEYMAN

As a YN, you should strive to perfect certain traits. Some of the traits we talk about here may need further development on your part. Take a good look at each and try to see how you measure up. When you recognize any weaknesses, you have taken the first step in correcting them.

SERVICE

Since the YN rating requires providing services to your shipmates and others, it is vital

to the welfare and peace of mind of all, that you provide the best service in the most effective and cheerful manner possible.

Some of the questions you may ask yourself are:

- Do I present a good personal appearance at the contact point?
- Am I familiar with all responsibilities of my rating?
- Am I competent to deal effectively with all responsibilities of my current assignment?
- Have I organized my work and time so that the most efficient service possible is rendered?
- Am I aware of the importance of records, and do I keep them current and complete?
- Do I know the content and arrangement of publications regularly used at my contact point?
- Do I speak and write clearly and understandably to the best of my ability?
- Do I accept the responsibility for doing my job as it should be done so that constant supervision is not necessary?
- Do I show consideration for my coworkers by what I say and do?
- Do I analyze individual problems correctly so that the first action taken is the proper action?
- Do I provide the same quality service to a Seaman that I would a person of higher rate or rank?
- Do I cause delays or inconvenience an individual by not handling his problem as I should?
- When I answer a question, am I absolutely certain that the information is correct?
- Does my response to an individual
  reveal a pleasant, friendly nature?
  show a willingness to help?
  indicate concern for his problem?
  instill confidence in my ability?
- If I were the individual and the contact point representative, would I be satisfied with the service I received?

Providing service is the responsibility of everyone in the Navy. You are involved with providing direct service since your work is normally a face-to-face encounter. Your effectiveness depends upon how well you listen, speak, and respond to the individual's needs.

A person can be given good service even when it is impossible to provide the results he desires. "Service," then, should be read to mean the quality of your response rather than whether or not you comply with all the person's wishes. The "run-around," or a "don't bother me" response tells a man his request or problem is not important.

Even though many of the people entering the Navy do not have a clear picture of Navy life, they have enlisted voluntarily for a variety of reasons. What happens along the way to make a number of them count the days until they are back in civilian life once again? It is reasonable to believe that unnecessary frustrations and resentments account for a large part of those who bid farewell to the Navy way of life. Everyone expects to cope with inconveniences and disappointments, however, they do not expect and should not have to contend with a lack of service.

The effect of bad service is much more lasting then the momentary anger or disgust felt by the recipient. The frustration and resentment it causes stay with that person in the form of general attitudes toward the Navy.

On the other hand, good service builds a good attitude in the person even when he must be given a negative reply. Good service implies capable, knowledgeable, and interested workers and a Naval service that cares about its personnel.

The Navy is definitely affected by the service you provide to other members. Machinery and equipment can be purchased when needed; conscientious, dedicated people cannot. Thus, it is apparent that capable people are the Navy's most valuable asset. When you are performing a personal service or supplying a personal need, there are no unimportant jobs.

ATTITUDE

Attitude can be described as the tendency to move toward a situation or away from it, to be either positive or negative in our outlook or feelings toward a subject. It can be a like or dislike for someone or something which is based

on habit, a previously formed opinion, or a current snap judgment.

Attitudes can't be measured or graded, but the effect or results of our attitudes can be. They are apparent in our actions and performance. You have heard it said about someone, "He has a poor attitude." How was this opinion formed? Wasn't it from the way that person acted toward his coworkers or customers or in the way he completed his work?

We have a positive attitude, or move toward a situation, because the consequences are pleasant or desirable. You have a positive attitude toward a friend because you enjoy the friend's company. Negative attitudes on the other hand move you away from a situation because the consequences are painful or undesirable.

Now, how are attitudes changed? You must become aware of the desirability and advantage of change, and you have to change them - no one can do it for you. A good start in the right direction is to think positive in any situation.

PRIDE

Attitudes have a major influence on face-to-face encounters, and since attitude toward others is a reflection of attitudes toward ourselves, it is vital that I have a proper appreciation of me.

We should never be too impressed with our accomplishments, nor should we be excessively critical of them. "I may not be all that I would like to be, but I am not worthless. I have value as a person, I have accomplished certain things, and I have the ability to climb higher." This recognition of who you are, what you are, and what you hope to become enables you to meet each day with an expectation of winning rather than a certainty of defeat.

A person must have a degree of pride in himself, his ability, and his job in order to put forth his best effort. Otherwise, his performance is characterized as slip-shod. He does only what he is told to do, when he is told to do it.

COURTESY

Regulations do not require courtesy beyond formal military courtesy. Formal courtesy is that which is demanded by custom and tradition. The common courtesy we are concerned with here is totally different. Common courtesy goes beyond what you are required to do. It is a voluntary expression of respect for another's rights or feelings. It is opening a door for someone, using military courtesy with respect, rather than merely observing the formal appearances. It is treating an individual as a person and his problem as important.

COOPERATION

You do your job and let everyone else do theirs. You don't ask for, or offer any help. You can probably get by, but remember, cooperation smooths the rough spots. Cooperation means working with all members of the team for the purpose of improving individual performance, efficiency and morale, and for accomplishing the mission of your command.

Cooperation is required when responding to a person's needs. The person will often require information or assistance from another office before you can act on his request. You can then send a person on a wild goose chase to get the information, or you can provide him with specific instructions on what to get, where to get it, and how to get there. You may go one step further, and inform the office concerned that the person is on his way.

The purpose of your manning a contact point is to provide service. You do not have a choice of providing either a friendly atmosphere or the service – you must provide both.

EXAMPLE

A definition of example is: someone or something to be, or not to be, imitated. In your Navy Career you have worked for and observed many different types of people; some with good, others with not-so-good traits. Now that you are the leader, it is imperative that you strive to set a good example in both your professional and military duties so those under you will want to follow in your footsteps. Your every habit will be scrutinized each minute of every day by your juniors and seniors. Strive to light a path that others willingly want to follow.

KEEPING PROMISES

You have probably met the contact point representative who agreed with every statement you made, sympathized with you, promised you everything you wanted, and did nothing. "Sure, I'll promise him whatever he wants just to get him off my back. I'll be long gone when he comes back." This may leave the customer temporarily satisfied, but it has only postponed the problem and may have complicated it.

The tendency of a person to hear what he wants to hear often leads him to expect or hope for results that are based on misunderstanding, misinterpretation of fact, or rumor. The results he wants may be impossible or, at least, very difficult to obtain. The way he asks a question usually tells you how he wants it answered. You must decide how you will answer.

- You can tell him what he wants to hear. This guarantees his disappointment later on.
- You can make some vague sounds and let him interpret them to suit himself. This lets you off the hook because you really didn't tell him what he thought you said.
- You can give him the correct information or interpretation now. He may grumble a little, but he will not place his hopes on worthless expectations.

A friendly, helpful atmosphere puts a person at ease, and enables him to state his need more accurately. Then he expects you to take constructive action. Some contact point personnel think their job is to keep people smiling and get rid of them. The person may go away in good spirits, but he is normally back at a later date, in a not-so-happy frame of mind, since he now realizes nothing has been done about his need.

Much time and effort is required to deal with some problems or needs. You may decide that it is easier to convince an individual that he doesn't want or need help. After all, you're the expert in your field. This is the way the individual regards you; why shouldn't he believe you? But this response has the effect of denying the service to which he is entitled.

A point to remember – never promise service that is above your capacity to deliver.

COUNSELING

Counseling is the receiving of information from, and giving professional guidance to, individuals. There are numerous ways, and various circumstances under which counseling is necessary. We are interested here with the types which will help improve performance of your men, help to retain them in the Navy, and help them to advance.

TO IMPROVE PERFORMANCE

As the senior YN, you are vitally interested in the performance of your men. How well they do affects how well you do. To guide your men in the area of performance it is necessary to do more than keep a close eye on their day-to-day office activities to spot weaknesses and poor working habits. To help your men achieve top performance you must show that you are interested in them and their work.

Normally, an individual willingly accepts constructive criticism if you convey your criticism in a sincere and helpful manner. However, there will be times when you find it necessary to counsel a man in private in order to accomplish the mission of your office. When you do this, impress on the man that you are here to help him, not to chew him out because of some mistake he may have made. By using this type of approach, you will find that your men will be more responsive to your corrective actions and will respect you as a leader.

It is also well to get together with your men, both as individuals and as a group, to get their ideas on what their work goals should be, how the office mission's should be carried out, and what their personal expectations are. Men will often set higher work goals for themselves, work with greater efficiency and morale, if they feel their ideas and desires are respected and considered in decision-making, and that they are not merely ordered around. The final responsibility in your office for making decisions, training, making assignments, setting schedules and priorities, and keeping track of results rests with you. But management studies have shown that the leader who encourages his people to get involved in planning and controlling work, who consults with, and supports, his people gets

greater productivity than the one who is content with giving orders and periodically rating, or evaluating his people.

Consult with your people on office mission and work schedules fairly frequently, not just when a new project is assigned or is due for completion. If you and your men have to modify work goals, revise estimates, or otherwise alter plans, you can do it before a difficulty grows into a problem. Sometimes you will find that they may have aimed too high too fast, and at other times you may find that they are getting things done better, and faster, than you, or they, ever expected.

TO INCREASE NAVY RETENTION OF GOOD MEN

Today, more than ever, the Navy is faced with the problem of retaining high caliber men. There are many reasons why this problem exists. Pay, living conditions, prolonged sea tours, and indifference to their welfare by some of their seniors, may be a few. Great strides have been made in improving working and living conditions in the past few years. It is up to you to apply leadership that will show your men your concern extends beyond the office. Let your juniors know you are interested, and stand ready to assist them in solving their problems. Try to develop a knack of making subordinates feel that what they are doing is vitally important to the Navy. By using common sense in dealing with your men, and showing your appreciation with an occasional "pat on the back," you will find the Navy has gained in retention because of your efforts as a true leader.

CAREER OPPORTUNITIES

A career as a YN in the Navy offers you and your men a wide variety of billets and opportunities. You want to know about these possibilities for your own benefit and to be able to keep your men informed.

Function of NEC'S

The Navy Enlisted Classification Coding System (NEC) has been set up to help the Navy match the right man with the right job. By identifying billets that require special skills, and by identifying men who have, or can develop, these special skills, the NEC system provides the Navy with a means of getting maximum usefullness from its manpower; it also provides Navy men with an opportunity to advance and take on challenging assignments. Any man who gains the qualifications associated with one of the special skills is given a code number, called his NEC.

NEC's Available to Yeomen

A good man who feels he has a chance to learn new abilities and to get interesting assignments, is more apt to want to stay in the Navy So, for your own benefit, and to keep your men informed, you will want to know the special career opportunities available to Yeoman. NEC's that a YN can shoot for at the time of this writing, together with capsule description of duties and scope of each NEC, follow:

- 2505 – Naval Intelligence Clerk

  Performs clerical duties in intelligence-type billets under the Commander, Naval Intelligence Command.

- 2511 – Closed Microphone Court Reporter

  Performs closed microphone recording and transcribing duties at courts-martial, courts of inquiry, investigations, and conferences. Records on voice reproduction equipment by means of a stenomask at a minimum of 200 words per minute.

- 2512 – Stenographer

  Takes dictation by shorthand at minimum speed of 80 words per minute.

- 2513 – Stenographic Court Reporter

  Performs stenographic duties at courts-martial, courts of inquiry, or military commissions. Shorthand or machine methods are used, with a minimum speed of 120 words per minute. Prepares correspondence and records of proceedings as specified by

the Manual for Courts-Martial and the Uniform Code of Military Justice.

- 2514 – Flag Officer Writer

  Takes dictation by shorthand at a minimum speed of 100 words per minute.

- 2516 – Legal Clerk

  Prepares correspondence, records, and papers of courts-martial, courts of inquiry, investigations, and military commissions or conferences. Employs knowledge of the UCMJ, JAG Manual, and other manuals and publications. Has a basic understanding of the closed-microphone court reporting system.

- 2525 – Chaplain's Clerk

  Assists the Chaplain by promoting religious programs and performs administrative duties.

- 2526 – Enlisted Personnel Administrationman

  Performs enlisted personnel administration duties involving personnel records and accounting procedures. This NEC is assigned only to E-5, E-6, or E-7 personnel who are performing or have performed enlisted personnel administration duties for a minimum of two years.

To keep in touch with NEC's that are added or changed, refer to the latest edition of the Manual of Navy Enlisted Classifications, NavPers 15105, which is revised and published semi-annually.

Of course, any man who shows interest in the programs you tell him about, will want to know how he can take advantage of them. Here's what you can tell him and how you can help him.

Let's say one of your men is interested in becoming a Navy Instructor. You would first see that he meets the basic qualifications, and, provided he does, request a school quota for him. Upon satisfactory completion of basic instructor school the man would be assigned NEC 9502. This is only one of many Navy courses that will qualify an individual for an NEC. It is also possible to qualify for more than one NEC by satisfactory completion of a prescribed course of instruction.

You should always check the latest edition of the Formal Schools Catalog, NavPers 91769 for basic requirements, length of course, location of the school and the NEC which will be earned upon satisfactory completion of the specific course.

Personnelmen are the specialists in the classification, educational programs, and career opportunities available to all enlisted men, just as you are the specialist in maintaining officer records and codes. So you will consult with PNs when you want assistance in processing requests for special training or programs, and to be sure you have correct and complete information. But in matters relating to your own bailiwick you will do a lot of studying on your own. If you like to consider yourself the head career counselor in your shop, you will keep yourself the top expert in those programs and opportunities aimed at YN– your people.

As a result of the establishment of the Naval Training Support Command under the Chief of Naval Training, new editions of training publications formerly designated NavPers are being redesignated NavTra. The numerals and the edition designators remain unchanged. This manual, for instance, is NavTra 10241-F, which means that it is a publication of the Naval Training Support Command and has succeeded a manual designated NavPers.

In this chapter and throughout the manual, training publications which already carry the new abbreviation are so listed. However, those not yet changed are shown as NavPers.

Be sure that you are using the latest edition of any publication or directive.

CHAPTER 2

CAPTAIN'S OFFICE

This chapter will give you some helpful hints on office administration, discuss the duties of the ship's secretary, and end with a study of officers' fitness reports.

You have heard it said, or have possibly said it yourself, "If I were running this show_____." Well, now you'll be in a position to do something about it. As the Yeoman in charge of the Captain's Office, what will you do?

A good supervisor keeps his mind open to the need for changes and makes them when they are needed. Before you can plan any changes effectively, you need to gain a clear understanding of the functions your office performs; then you can analyze the office in light of how performance can be improved. Not until you have clearly in mind what is done and who does it should you consider reorganization. You may not be able to change the present organization, nor may you want to, however, you must understand it: knowing how your office operates is the first step in managing it yourself.

ADMINISTRATION

You are expected to apply office management techniques and concepts in organizing your office. If you want your office to be known as one that is well-run, you must concern yourself with the four elements of administration – planning, organizing, command, and control.

In order to organize, you must first look ahead and effectively plan in order to accomplish your goal. You may ask, what constitutes a good plan? There are various ways in which you may do your planning, however, it is well for you to keep in mind that the characteristics of a good plan are that it: .

- Has a well-defined objective.
- Is simple but balanced and flexible.
- Provides standards for measuring action.
- Provides for the use of all available resources before creation of new authorities or new resources.
- Specifies personnel who are to carry out the plan and outlines responsibilities in terms which will avoid confusion.

Organization is the process by which your jobs are divided into groups and assigned to individuals, authority and responsibility are established, and relationships of individuals to each other are determined.

Command is exercising of authority over those under you in order to accomplish your mission.

Control is the means to ensure that administration of your office is proceeding within the limits of your plan. It is not enough that you direct something to be done, you must also see that it is done, how it is done, how well, and at what cost in manpower, material, and money.

PLANNING

The time and thought you devote to planning pay large dividends in terms of time and effort saved later. One of the mistakes we are all inclined to make when we start a new assignment is to neglect this essential phase and start making changes before we understand the existing system or, in other words, "have the big picture in focus." Many things that are done appear strange when we are new, some may even appear pointless and outright senseless. A wise

person does not act on first impressions and realizes that on longer acquaintance with the job the reasons for some seemingly unreasonable things will show up.

Fortunate is the man who is able to report aboard long enough before his predecessor is transferred so he can look around a bit before he takes over. He has a chance not only to watch constructively what is going on, but also to study up on his job.

It is a good idea to ask your predecessor about specific functions of your office. You may know them from previous assignments or from your general knowledge of the Navy, but it isn't a bad idea to check them out anyway. If what you think you know turns out to be right, you'll be glad to learn your opinion is verified. If it turns out that there were gaps in your knowledge, you will have saved yourself embarrassment.

Functions

For specific information about the functions of individual offices you should consult the publication related to your type of office. For instance, your assignment as the legal yeoman requires your familiarity with the Manual for Courts-Martial. Similarily, the logroom yeoman must be familiar with the NavShips Technical Manual.

Having found out what your office is expected to do, you should next consider how your work fits into the work of your activity. This means understanding the functions of the ship or station, which, means study of organization charts, complements, allowances, and other documents.

Now, look again at the inner workings of your office and consider personnel, office space, and equipment in the light of work that is to be performed.

Personnel

Get acquainted with your personnel. Find out what training and experience they have had and their individual skills and traits of personality. It is necessary to size up your men quickly, but remember that the longer you know people the more you can learn about them. If you are setting up a new office, you will have to make immediate decisions regarding assignments. In an office already in operation, you probably will not make many changes in duties until you have been in charge for a time.

Ask yourself such questions as:

Do I have enough people to do the job to be done? (Caution. Don't start asking for more personnel until you've tried working with your present group. Even when you're sure you need more, they may not be available.)

Do the personnel have the right skills? Are their levels of skill adequate?

What training do they need for this job and for their own general improvement?

How shall they be trained? Rate training manuals? USAFI courses? Other training?

How can I further their advancement?

How shall I provide substitutes for those who may be temporarily absent, transferred, or discharged?

Do some appear to have more ability than they are using? Would a change in assignment improve the situation? Is there proper motivation for a man to do his best?

What personalities seem to conflict? How can these conflicts be avoided?

Who are the potential leaders? How can their leadership be encouraged and used for the benefit of the office?

Which ones may get themselves and others into trouble? What positive measures can be used to forestall trouble and direct energy into useful channels?

Which ones have problems outside the office that may adversely affect their morale and their performance? What can be done about these problems?

Space and Equipment

Examine your office machines. Are they the most suitable and are they in good condition? Do personnel who use them take good care of them? Do you know of available equipment that would do the job better? Have you surveyed your working spaces for effective use?

Observation

All this study and examination must be done tactfully. Be casual in manner but accurate and perceptive in observing. Ask questions of your predecessor and other personnel within your office in a manner that shows you are interested and trying to learn. Be careful that your words don't imply a criticism of present methods.

If, as you study your office, you become convinced that changes are in order, decide which are feasible and which are most urgent.

Short and Long Range Plans

Your planning should be a kind of two-track railroad, with local trains on one track and expresses on the other. The local trains are your plans for the immediate future. They keep plugging along on their short hops. Racing past them and on out of sight are the express trains of long-range planning. You are in the control tower looking after both sets of trains to keep the tracks cleared and ensure their arrival on schedule at their destined goals.

When we speak of planning we don't mean, of course, just the planning you do when you first take over a new assignment. Planning, in common with the other aspects of administration, should be continuous. As you carry out one set of plans you already should have begun making a new set for the next operation. In the back of your mind, too, you are ticking off each completed operation on the long-range plan and setting up new goals for the future.

Followup Action

If your plans are realistic and carefully worked out as to details, you will find it easier to put them into force. Your seniors will find them easier to understand and will be more likely to approve them. Your juniors will find them easier to carry out.

Some people are better planners than doers, which is why many plans die on the drawing board. Make good and complete plans in the first place, and then do everything possible to carry them out.

Your plans, like those of everyone else, will sometimes have to be revised. If a system you have devised fails to work as efficiently as you had expected, the thing to do is to change it. The wide-awake supervisor keeps his mind and eyes open to see how his plans are working out and to readjust where necessary. He watches for changes in function, in personnel, or in working conditions and modifies his plans accordingly. He doesn't continue a practice just because "it has always been done that way" if it is clear that there is a better way of doing it.

On the other hand, frequent reorganization of office procedures usually indicates faulty original planning and may reflect unfavorably on your competence as a supervisor. Your subordinates are likely to recognize this fault and resent having to move office furniture or perform other tasks of reorganization simply because you didn't plan well in the first place. Using your head in the beginning will save not only your feet but your face.

ORGANIZATION

The fact that your office organization is relatively simple doesn't diminish in any way the importance of having a clear and well-balanced structure. Each man should know what is expected of him and what authority he has. This doesn't mean that your men shouldn't be expected to help each other from time to time or that you can't reassign them as necessary. It merely furnishes an established and generally understood system of operation.

Remember the principle of matching authority with responsibility. When you assign your YN3 to mimeograph and assemble the ship's organizational manual, provide him the necessary manpower required and see that the men know who is in charge. Be explicit about the authority you give a man, and as long as he stays within this authority, back him all the way.

Divide the workload as fairly as possible. You know from past experience and analysis studies that an uneven workload lowers morale and creates bottlenecks that slow up your work. In your own office you may not need to conduct a work count to see whether each person is bearing his fair share of the load, but don't put off investigating if your men show signs of

uneven workloads. There are times when a man seems to be overloaded but on closer observation you find that all that is necessary is for you to teach him how to organize his work better. On the other hand, the workload of another man may have gradually increased without your noticing it, and his present duties are completely out of line with your original assignment.

All Yeomen are expected to perform the duties of their rating at the rate level they hold. This is a necessary condition of naval organization, but it shouldn't prevent you from remembering that each man still has his special talents and preferences. A good supervisor always finds out what each of his men can do best and what each likes to do well enough to put extra effort into it. He doesn't make all his assignments on that basis, but he does give each man as much opportunity as possible to work at the things he does best and likes best. This pays dividends in quantity and quality of work and usually results in better office morale.

When you assign duties, remember it is best to give similar or related tasks to the same man. Proper combination of duties speeds up operations by eliminating wasted motion and also improves accuracy.

Since transfers, leave, hospitalization, and the like cause changes of personnel within an office, rotate your men in the various jobs occasionally. By doing this you will have initiated the first step in preventing office routine from breaking down when one of your key men is absent, and you will have given each man an insight as to how his tasks contribute to the general functions of the office. Be prepared for the unexpected by training your men to replace one another.

Office Layout

Arrange your office to conform as much as possible to the principles of good layout.

If you have two office spaces, consider placing all personnel in one room and your supplies, duplicating machine, and other infrequently used equipment in the other. This will avoid the temptation to call back and forth from one office to another and will make your work of supervision easier. Also, noisy jobs, such as duplicating, can be kept from disturbing or being disturbed by regular office routine.

Office arrangement is an area in which room for improvement frequently exists. Often it is apparent from casual observation that offices have been laid out with little regard to the tasks that must be performed. Areas may be overcrowded in one office while in another, space is being wasted.

Space and manpower are wasted due to poor planning. Therefore, attention must be given to such things as mission, work flow, and utilization of personnel when planning a Navy office. If the office to which you are assigned is not functioning properly, rearrangement may improve results.

Straight-Line Flow of Work

An important principle of office management is the straight-line flow of work. In general this means work progresses from one desk to another through a course as near as possible to a straight line. The desk arrangement is such that it is unnecessary for work to double back over a course it has already traveled. This continuous forward movement of work saves time and manpower, both of which are essential to good office management.

This principle may be compared to an assembly line in a modern factory. In the factory a piece of equipment starts down the assembly line, stops at certain points for various operations, and continues on to completion. This is true of straight-line flow of work. The straight-line principle ensures an effective office, effective utilization of space and manpower, less danger of losing important documents, and ensures completion of work expeditiously.

A straight-line flow of work is achieved by studying the steps to be performed so as to eliminate unnecessary crossing and backtracking and by placing of desks and equipment to facilitate the flow of work.

Some Practical Suggestions

When laying out your office keep the following principles in mind:

- Units and individuals having the most frequent contacts should be located near each other.

- Personnel having heavy in-and-out traffic should be located near entrances.
- Arrangement of equipment and facilities should allow for effective supervision.
- Layout should provide for maintenance of proper security precautions.
- Files, supply cabinets, and records should be conveniently accessible to those who use them.
- Personnel using the same equipment should be grouped together; noisy machines should be grouped to minimize interference with other work.
- Adequate heat, light, and ventilation should be provided.
- When placing desks in an office do not place them facing windows. They should be placed to take best advantage of available light and to prevent glare.

In chapter 3, we will examine in greater detail methods of analyzing and improving the processing of work in your office.

COMMAND

A leader exercises command over those under his authority to see that the job gets done in a proper and efficient manner. He also coordinates activities of the various groups under his command so that they work harmoniously and are reasonably consistent with each other in accomplishing the assigned mission. The mission can only be solved by keeping in mind the organizational structure and its functions.

Decisions

'One of the most significant indications of command is the power to make decisions. The person exercising command not only is allowed to make certain decisions—he is expected to. A new supervisor has to learn, therefore, what kinds of decisions are his responsibility. Then he must exercise sufficient self-discipline to make those decisions as ably as he can and abide by the consequences. It is a serious error to try to make decisions that are beyond your authority, but it is equally serious to refuse to stand up to your responsibilities when decisions are required of you.

Directions

Be sure that each man understands what he is to do and how he is to do it. If the work is new, be sure to explain the process thoroughly. Then keep an eye on operations until you are sure your directions were understood and are being carried out.

Coordination

Even if you have only two men working under your supervision, you will do some coordinating. You will have to keep in mind the various operations that you and the others are performing and see that each is finished at the proper time. You will have to see that special jobs are not forgotten or neglected.

Another aspect of coordination is keeping the various individuals working together harmoniously. If work assignments are clearly defined and workloads are fair, some causes of friction are eliminated. It will help also if the men feel that you are fair to all in offering praise or blame, and that you are equally concerned for the welfare of all. Beyond that, your problem is one of knowing the individuals and as far as possible preventing antagonisms from getting started.

One way to ensure that the coordinating part of your job is done is to allow time in your regular schedule for putting aside your main activity and reviewing the other activities that you are carrying in the back of your mind.

Another way, and one that you doubtless have used in the past, is to see that your office has an efficient tickler system that will assist in bringing to mind periodic jobs or deadlines for the performance of some particular task.

CONTROL

It is not enough to decide what your men should do and tell them to do it. You must see that they comply, that they comply in the right way, and that their efforts produce the required results toward accomplishing the mission. This is control.

Supervision

To exercise control properly you should know what is going on at all times. Learn to work at one thing and, at the same time, keep an eye and ear out for what your men are doing. It may be hard at first, but it is essential to your job. Just the fact that you are paying attention to what they do has a salutary effect on the atmosphere of the office.

With men whose abilities and methods of working you know well, you actually can dismiss thought of a piece of work once it is assigned, but this is not always true. A good supervisor knows which men can be relied upon to proceed on their own, and which ones need closer supervision and direction.

Conscientious supervision will enable you to prevent your men from forming bad work habits and teach them good habits instead. Good work habits are most easily taught in the beginning, before a man has formed poor habits. One way good supervisors accomplish this is by careful initial instruction. When you are explaining how to perform a new task, you should:

- Explain what is to be done.
- Show the man how it should be done.
- Let the man do it.
- Check what he has done.
- Let him know what he did right.
- Explain anything he didn't understand.

Following this procedure produces both good work habits and men who are confident that they understand what they are doing.

Be Careful How You Supervise.–It's a curious thing that, while most of us like to feel that our seniors know what is going on, we strongly resent the sense that someone is watching our every move. We especially resent being watched if we think the watcher is constantly looking for something to complain about.

One mistake commonly made by mediocre supervisors is to do a great deal of observing but apply very little thought to what is observed. A successful supervisor often gets more out of a brief, casual visit than another would get from standing around an hour watching the man at work. This is because he makes a practice of knowing as much as possible about each man, and when he is near him he really concentrates on what the man is doing and how he is doing it. He usually adopts a casual manner to spare the man embarrassment, but there is nothing casual or careless about the supervision he is exercising.

Encouraging Initiative

One valuable way of encouraging people is to listen to their suggestions for improvement and ask them for opinions on specific problems.

If you use an idea that originated with one of your men, be sure your seniors learn that it was his idea. Avoid the temptation to take the credit yourself. Even if you added something to the man's suggestion, it is better to give him the credit. If your men are taking sufficient interest in their work to offer useful suggestions, your seniors will take notice and credit you with doing your job as a supervisor.

If feasible, it is advisable to let your men try their ideas provided they don't interfere with important operations. Whether this experiment is a success or failure, the man will have learned something. He will realize that you are an open-minded individual, and when you do have to veto one of his suggestions, he will accept your decision.

If you really like people, you will enjoy seeing them progress. Don't be afraid of being outdone. Most of the world's great men have had pupils who surpassed them in some respect. A real leader is always happy to help others develop their abilities.

Criticism and Praise

From now on, you will have to think more sharply about whether a job is done well or not. In the past, if you did a job poorly yourself and were read off for it, you may have excused it in your own mind by thinking "What do they expect, I'm only Second Class!" When you make YN1, however, you yourself will need to criticize or praise a man quite frequently.

Never be too quick to criticize a man adversely. Sometimes the man may have had a good reason for doing what he did. Shy away from making unfavorable remarks just for the sake of being critical–don't be a Monday morning grouch. If you do, your men will expect trouble

every time you're around. It creates a feeling of hostility and may even be the cause of more mistakes because of the men's nervousness. Use constructive criticism whenever you can. This means not only pointing out why you think a piece of work is wrong, but also explaining how it can be made better. This spreads the idea around that you're trying to help and give direction. Before you criticize at all, be sure you're right. If you're not sure, ask a few questions to get the big picture.

As with criticism, there is some art in giving praise or encouragement. Public commendation is an excellent aid in developing a man's morale, but don't overdo it or it loses its value. Don't repeatedly pat a man on the back because he's doing his job. The enlisted evaluation report is the place for this. But never hesitate to thank or praise a man, and do it in such a way that the other men know about it, when he makes a good suggestion, or goes out of his way to do a better job. Even if a suggestion isn't very practical, let him know you appreciate the thought behind it. Be courteous to your juniors as well as your seniors and encourage this trait in your men.

SHIP'S SECRETARY

Because you work closely with the ship's secretary you should be familiar with most of his duties and responsibilities. You may not be expected to do the secretary's job altogether, however, you are expected to supply intelligent answers in his absence. From the time you sew on your first class crow you should consider yourself in training, not only for Chief, but for the time when you may have to wear the shoes of the ship's secretary.

Basic Functions

The basic functions of the ship's secretary fall roughly into six types:

- Administration of correspondence
- Accountability for correspondence
- Custody and upkeep of officer records
- Captain's Yeoman
- Supervision of CO's personal correspondence
- Supervision of print shop

These basic functions will vary depending on the secretary's billet. On a carrier he will have all six. On a large staff where he is known as the flag secretary, he would probably be concerned only with administration and accountability for correspondence, plus overall supervision of the flag office.

Administration of Correspondence

The Department of the Navy Correspondence Manual, U. S. Navy Regulations, and command directives are your guides for preparation of correspondence. It has often been said that if you follow these you'll never go astray. One sign of a good ship's secretary is that he requires compliance with the Correspondence Manual.

In addition to reviewing outgoing correspondence, the ship's secretary reads, or is at least aware of, each piece of incoming mail, and insures that all official correspondence is processed and routed properly.

In most cases, official mail requires a reply. It may be possible for the secretary to supply an answer to an inquiry from previous correspondence in the files. The time to supply this information is before the department head concerned or the XO get the letter, so they can advise the captain. This is done by means of a mail control slip or memorandum. It should never be necessary for an officer to come to the secretary for information when the secretary already had seen the inquiry and knew information would be needed. In personnel matters, the secretary is often able to draft a reply in the rough. All the matter then needs is approval or disapproval by the Commanding Officer.

Accountability for Correspondence

Accountability for correspondence would seem to apply only to the care and handling of classified matter, however, in its broadest sense, it applies to all mail retained in the central files, classified or not.

In maintaining the central files, a lot more is involved than sticking a piece of paper in a file folder. Mail of importance should be routed by means of a mail control slip. If the person taking action on a certain piece of correspondence wishes to retain it, the control slip should be

returned to central files indicating retention. If a letter is replied to, the identification of the reply should be shown on the control slip for future reference. Precaution must be taken to insure classified matter is not reproduced without permission of proper authority. Close track must be kept of mail while it is being routed to prevent its loss or misplacement, and a flexible time limit set on how long a department may retain correspondence before passing it on.

In maintaining the central files, the secretary always keeps one eye open for signs of improper filing. There are few things more irritating to an officer than being made to waste his time waiting for a letter or document he needs, then to find out the delay was caused by misfiling. The secretary is the one who gets the blast, but it reflects on the senior YN and the file clerk as well. It's embarrassing because it never should have happened.

The ship's secretary sees that the file system is set up properly for both classified and unclassified matter, that a record is kept of all persons who see Secret and Top Secret matter, that obsolete matter is disposed of properly, and above all, that all correspondence is maintained accurately.

Officer Records

The trouble with being an authority on personnel matters is that procedures and rules are changing all the time. Nevertheless the ship's secretary is considered an authority. One of his duties is to keep up and maintain custody of officer personnel records. He interprets incoming directives relating to change of duty, promotion, or changes in status and sets up the office machinery to execute and record the directives. He sees to it that the office force is aware of any new procedure. He makes sure that required reports are sent on time, that personnel accounting for officers (and civilians, if any) is accurate, and that there exists a foolproof system of handling fitness reports.

Yeoman 3 & 2 discussed officer service records at length, so it will be necessary here only to remind you that an officer's record is vital to his career. And this is true from the lowest-ranking officer on the ship up through the skipper. Never let yourself or your men be careless or slipshod when working with the records. A good idea might be to handle them yourself, or give your best man full charge of them.

Captain's Yeoman

The ship's secretary usually details one of his best petty officers to be the CO's personal Yeoman. The Captain's Yeoman types the Captain's letters, acts as the Captain's receptionist, and notifies other officers when the Captain wants to see them. He serves the Captain in much the same way that the Flag Lieutenant assists the Admiral on a fleet staff.

Supervision of CO's Personal Correspondence

The captain's Yeoman prepares the CO's personal correspondence, however, he does NOT have supervisory responsibility for it. This is one of the ship's secretary's functions. Most CO's want an extra copy made of any personal correspondence for inclusion in their personal files. For ready reference, he may want an extra copy made of official correspondence on some subjects. The ship's secretary must often make the decision himself as to whether an extra copy should be made.

In most cases the CO retains his own personal file or trusts its upkeep to the ship's secretary.

Print Shop

Supervision of the print shop is another duty of the ship's secretary. Only larger ships have print shops, and the secretary usually has an assistant who is in charge of, and operates, the shop. The responsibilities include:

- Assignment of personnel
- Setting of policy
- Establishment of work routine
- Compliance with shop operations
- Inspection of work produced

The assistant oversees operation of the print shop. Responsibility for smooth operation rests with the ship's secretary.

Supervision of Supplies and Equipage

Your function up to now regarding supplies and equipage has probably been one of merely ordering and maintaining adequate levels of supplies and perhaps getting involved with the physical inventory of equipage. However, as a supervisor in this field, you will find yourself involved with the more technical aspects of the supply system as well as budgeting and maintaining departmental Operating Target (OPTAR) records.

Chapter 5 of *Military Requirements for PO1 & C* discusses the overall supply, equipage, and budgeting facets as used in the Navy today. It is recommended that you review this section. In addition to periodic inventory of equipage, as a supervisor, you should ensure that equipment is in good working condition and that proper preventive maintenance is being conducted at prescribed times. Also, keep a watchful eye on administration of local OPTAR records to ensure that you stay within your existing operating expense allocations.

A problem which requires your attention as well as that of the ship's secretary is control of the fast-copy machines. The wide spread use of the fast-copy machine has created security problems and increased operating costs needlessly. These machines permit quick reproduction of uncontrolled classified material, leave latent impressions on reproduction equipment, and create excessive waste which can contribute to compromise of classified information. Misuses that contribute to high operating cost are:

- Using a copier in lieu of making one or two carbons at the time of typing.
- Copying blank forms or publications which are available from stock rooms.
- Making more copies than are needed.
- Using a copier for runs that should be done by the print shop.

Controls should be established to prevent unnecessary costs and to prevent security abuses.

Ship's Directives

The Navy Directives System is discussed in your training manual for *YN 3 & 2*. The ship's secretary sees to it that the system on his ship is working. In addition to ensuring that the directives are issued in proper style and format, it is the secretary's responsibility to:

- Maintain the ship's Master Directives Binder. This is a master set of all instructions and notices, those received as well as those issued by the commanding officer or executive officer. Those received from other activities are filed in the usual way (by subject classification number and originator). For those originated on the ship, there is a choice. They can be placed in the same binders and in the same order as those received, or they may be filed separately for ready reference. Ship or station notices ordinarily need not be filed in the master file, because of their short duration. If it is necessary to interfile them temporarily with Instructions, the Notices should be tabbed so that each may be easily and promptly removed as soon as its cancellation date is reached. Copies may be filed in separate suspense binders when necessary.

The importance of removing obsolete directives and making changes to effective directives cannot be overemphasized. You could find yourself considerably embarrassed should the CO or another officer make a decision based on your information only to find too late that the directive had been canceled or changed.

The ship's secretary has no responsibility regarding department or division directives, except perhaps in an advisory capacity as to format.

- Operate the ship's Directives Control Point. This is the term used to describe the system of issuing periodic checklists of effective instructions in order that receivers can weed out those no longer effective. For directives issued by the CO or XO, the ship's secretary should have this checklist prepared and sent to all concerned at least once a year (preferably June or December). If the volume of issued directives justifies it, he should have quarterly supplements made up, listing all directives issued and all those canceled during that quarter.
- Issue periodic subject indexes for local directives, if considered necessary. The need for indexes has to be determined by the secretary. Except in the larger activities, this should not be

necessary at the local level but it may be done at any time.

Library of Ship's Publications

Physically, the ship's secretary has little to do with the publications on board. Technically, however, he is responsible for having the correct number on board and seeing that they receive the proper distribution. In the case of the standard publications familiar to you, such as *BuPers Manual, Navy Regs, Uniform Regs, Correspondence Manual,* et cetera, all that is necessary is knowledge of which departments have copies of each publication.

The ship's secretary may also supervise the Technical Publications Library (TPL), which contains a number of books formerly issued through the Registered Publication system. Those of lesser importance have been removed from the RP system to lighten the bookkeeping load for individual activities as well as the Navy Department. Each copy of each publication in the TPL must still be accounted for. If the Library becomes the responsibility of the secretary, he must ensure that the publication clerk gets a receipting signature for every document issued, and that every publication is accounted for and identified. Detailed instructions for operation of a TPL are contained in the *Guide and Master Index of NWPs, NWP O.*

SUPERVISION OF PUBLICATIONS

Up to now, your main interest in publications and directives has been in knowing their purpose and which of them to use when looking for guidance or information on a particular subject. You've probably had the job of making corrections a number of times. As a supervisor in this field, you will find that past experience is as helpful as a book of instructions, so this section may be looked upon as a short refresher course.

Supervision of publications and directives falls roughly into four fields:

1. Procurement
2. Stowage
3. Issuance
4. Corrections

Procurement

The supply officer does the actual ordering for all items of supply, including all publications and directives. He forwards an Invoice/Shipping Document to the supply center or depot which is responsible for your activity's supply support. You may relay your requirements to supply, using whatever local system is customary.

Stowage

Stowage is usually planned with the idea of making the items conveniently available to the people who use them the most. In the case of classified matter, convenience is secondary to security. When possible, keep the books you use most either near your desk or on it. This saves time and temper on busy days. Place the master set of directives in a central place available to all the men in the office, preferably not on a shelf directly over someone's desk. To conserve needed space, place your seldom-used pubs out of the way in a file drawer. This leaves your shelves free for their intended purpose, as a reference shelf, instead of a storage space.

Issuance

You should have a check-in and check-out system for any publications or correspondence taken out of the office, and see that it is enforced. Avoid "lending" your publications "for just a minute" to officers and men in other departments, no matter how well you know the individuals. It only takes a few seconds to check out a publication properly, and this practice can save you considerable headache and confusion should you need the publication in a hurry. Should you get a call from the CO or XO to look up some information in one of your publications and then find out that the publication has been lent to someone, but no one can remember to whom, you will readily see the value of proper accountability. Standard IN and OUT cards are available through the supply system. The thing you have to keep in mind is that in dealing with people you must always anticipate and allow for human error. People forget. If the YN in the log room borrows the

BuPers Manual and forgets to bring it back, the fact that a week later you need it and have his signature for it will spur him to look for it. He can't just shrug his shoulders and say he doesn't remember. The burden of returning it is on the person who signs for it.

Making Corrections

A full allowance of books close at hand is of little value unless the books are up to date. This point cannot be overemphasized. An uncorrected publication is worse than no publication at all because it gives wrong information. Changes to manuals should be made as soon as they are received instead of waiting until your striker runs out of other things to do. During this "suspense" period the command can get into trouble because of obsolete or misleading information.

Have changes entered promptly and correctly. Assign the job of entering corrections to someone in whom you have confidence. If necessary, give him instruction on how to make the changes. Have him read the directions which accompany the changes and tell him to ask about anything he doesn't understand. Making corrections to manuals can be dull and tedious, but the job must not be given to the least capable man.

It is sometimes wise to file the change orders in the manual changed. This makes it possible to check later on any change which has been made but which seems to be questionable.

NAVAL WARFARE PUBLICATIONS

In addition to the regulatory publications discussed in YN3&2, you should be familiar with parts of certain naval warfare publications. The purpose of these publications is to serve as guides under a variety of circumstances.

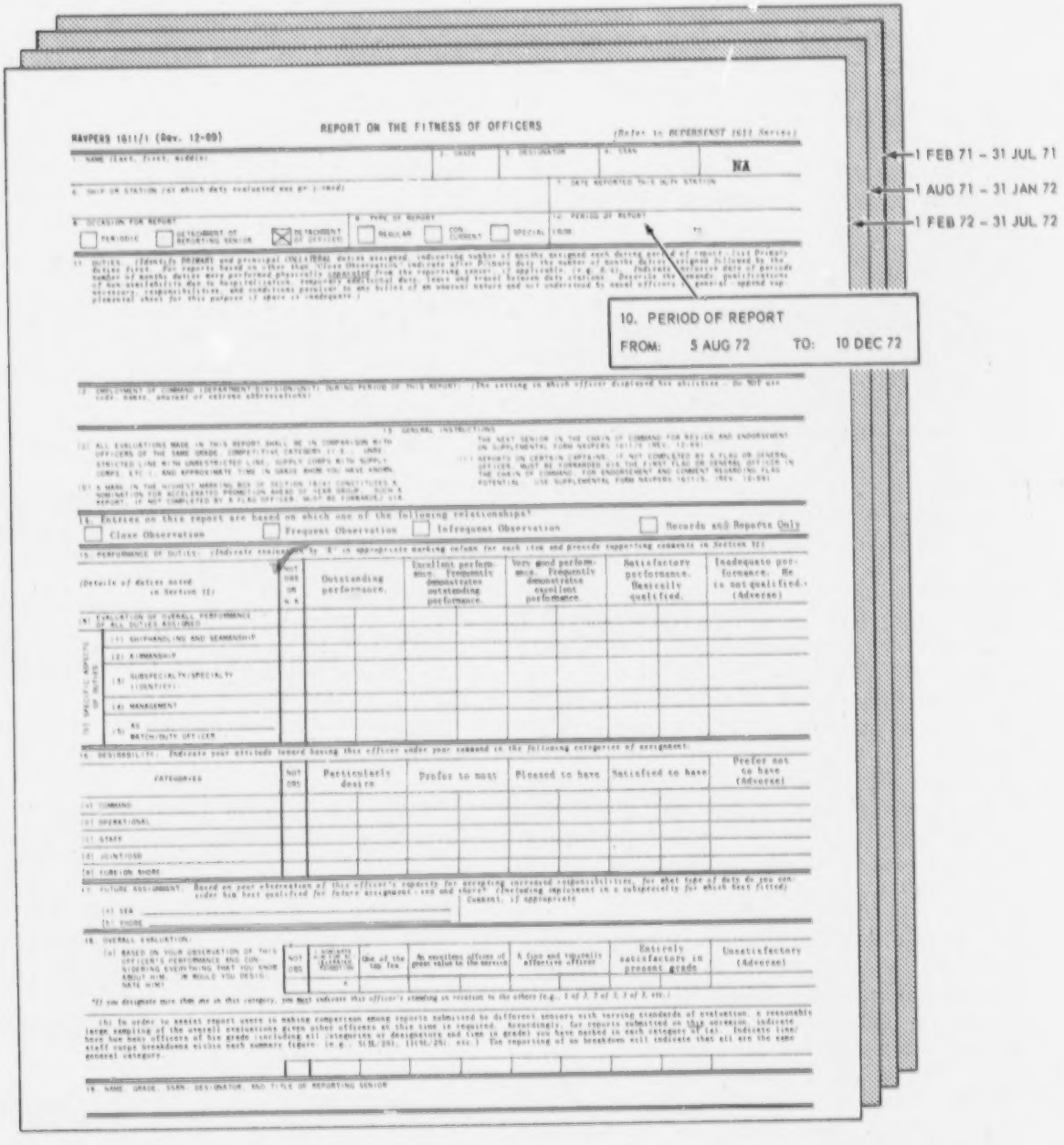
- NWP O, Guide and Master Index of NWPs, as its title indicates, is a guide to the naval warfare publications. It provides the user with general information in subjects covered in the series, and in addition serves as a guide to proper operation of a technical publications library (TPL). OpNav Instructions of the 5605 series, concerning TPL operation, should also be reviewed.
- NWP 11(A), Naval Operational Planning, deals with operational planning, including logistics, communications, intelligence, and psychological warfare—all are prerequisite to the successful prosecution of a naval operation. Chapter 4 is of interest to the YN. It prescribes the format and method of identifying OpPlans and OpOrders and their annexes, appendices, and tabs.
- NWP 12, The Navy Staff, presents a pattern for Navy staff organization. It explains the nature of the Navy staff, outlines the established principles of staff organization and responsibility, and indicates procedures to be followed by staff officers in carrying out their duties. Of primary interest to the Yeoman is staff organization and the relationship of the staff with the flagship.
- NWP 50(A), Shipboard Procedures, contains sound and practical shipboard procedures for administration, organization, and operations. It provides guidance to type commanders responsible for compiling the ship's organization and regulations manual. It is a guide for shipboard personnel in fulfilling basic operational readiness requirements, for the essential systems for administration, and for such shipboard operations as the use of boats, developing tactical data; preparation for and riding out heavy weather, and guidance for personnel in matters of seamanship.

FITNESS REPORTS

Purpose

Reporting seniors are required periodically to appraise each officer under their command in the light of performance of duty as compared with other officers of the same grade and length of service. The result of this appraisal, or evaluation, becomes an official report on the fitness of each officer. It works in the same way as the enlisted performance evaluation system. These reports of fitness cover all times an officer is in a duty status. (See fig. 2-1.)

Each day of his career an officer adds evidence that is the basis of his personal and


NAVPERS 1611/1 (Rev. 12-69)
REPORT ON THE FITNESS OF OFFICERS
(Refer to BUPERSINST 1611 Series)
NA
1 FEB 71 – 31 JUL 71
1 AUG 71 – 31 JAN 72
1 FEB 72 – 31 JUL 72
10. PERIOD OF REPORT
FROM: 5 AUG 72 TO: 10 DEC 72

21.47

Figure 2-1.–Reports of fitness cover every day of service.

professional reputation. Each report of fitness is designed to show how well an officer is getting along in his assignment during the period covered by the report. Over the years, the reports show every duty an officer has been assigned, the total period of assignment, and his degree of qualification in each duty.

These reports are the most important part of an officer's record. They are the primary means for determining his promotion, selection, and assignments.

Responsibility

As spelled out in BuPers Instruction 1611.12 series, there is a dual responsibility in preparing fitness reports–that of the officer being reported on to submit the proper form to his senior for evaluation, and that of his senior to complete the report and forward it as appropriate. For purposes of more efficient administration, it has been found that placing responsibility in one office or person for all fitness reports when due works much better than depending on the memory of many persons. Therefore, as a matter of practice, the ship's secretary is responsible for the submission of officer fitness reports.

An officer's report of fitness, though not classified, is treated as "private and official" matter. The man in whom you have complete confidence should be assigned to type all fitness reports in the smooth. He must be someone who understands that what he sees goes no further. He does not discuss the contents of these reports with anyone – including the officer being reported on. If you must assign a man to this task for his first time, be sure that he understands this. The reporting senior must show and discuss each individual fitness report with those officers in the grade of W-1, Chief Warrant Officer, and Ensign through Lieutenant. Current policy directs the reporting senior to deliver accrued fitness reports to officers in the grade of CWO3, CWO4, and Lieutenant Commander through Captain upon detachment of the officer or reporting senior. If a fitness report is adverse, the reporting senior is required to show the report to the officer concerned for comment. If the officer makes no response within a reasonable period of time (approximately 15 days), the reporting senior submits a signed duplicate report under covering letter to the Chief of Naval Personnel.

Contents

Each officer's fitness report, when complete, provides information regarding:

- Record of duties performed
- Manner of performing those duties
- Professional qualifications
- Matters of commendation or censure
- Any disciplinary action
- State of his health (if affecting his performance of duty)
- Any special qualifications
- Personal characteristics

Material for an officer's record, when properly entered, is there to stay. Once the fitness report is submitted, it becomes the property of the Navy Department. The contents of a report cannot be changed except by permission of SecNav. Requests for changes are made only by separate correspondence which is made a part of the report involved.

Submission Dates

Periodic reports are submitted on all officers (excepting TAR officers) for the periods ending on the dates shown below for the different grades:

Flag Officers	–last day of September
Captains	–last day of January
Commanders	–last day of March
Lieutenant Commanders	–last day of April
Lieutenants	–last day of June
Lieutenants (junior grade)	–last day of February

Ensigns and WO, W-1	—last day of January
CWO W-2, W-3 and W-4	—last day of November

Periodic reports on Reserve officers on extended active duty in TAR (Training and Administration of Naval Reserve Program) billets are submitted each year on the dates shown below for the different grades:

Flag Officers and Captains	—last day of September
Commanders and Lieutenant Commanders	—last day of October
Lieutenants and junior	—last day of December

Reporting seniors may extend the periodic reporting period up to 60 days when the reporting senior or the officer being reported on either reports for duty or is detached during the period of this extension. Requests for longer extensions must be approved by BuPers.

For officers under instruction, the periodic report is submitted at the end of the school year or training period, provided the interval between reports is not more than a year.

Submission Responsibility

Reporting seniors, although usually considered to be commanding officers, actually fall into 1 of 3 types: regular, concurrent, or delegated reporting seniors.

Regular Reporting Senior.—Any officer of the Armed Forces or its allies or a civilian official of the United States to whom an officer has reported for duty, temporary duty, duty under treatment, duty under instruction, or active duty for training is that officer's regular reporting senior. In those cases where an officer's orders direct him to report to more than one command for duty, the first person or commander listed in the orders is the regular reporting senior. The regular reporting senior need not necessarily be of a rank higher than the officer reported on (although he usually is).

Concurrent Reporting Senior.—A concurrent reporting senior is an officer senior to the officer reported on under whom the latter has performed any significant duties. When this occurs, the officer concerned usually cannot be observed over an extended time by his regular reporting senior. If the officer being reported on has performed those duties under the command of an officer junior to him, the officer next senior (in the chain of command) to the one being reported on is the concurrent reporting senior. In this case, the reporting senior would probably request an evaluation from the officer under whose command the duty was performed. When appropriate, concurrent reports may be submitted by letter rather than on the standard form.

A concurrent report is submitted to BuPers via the regular reporting senior, who signs it before sending it on. This tells BuPers that, whether or not the regular reporting senior concurs in the report, he is at least aware of its contents.

Submission of concurrent fitness reports has no bearing on the periodic submission of regular reports, which are still submitted by the regular reporting senior.

Delegated Reporting Senior.—A delegated reporting senior is an officer in the organization who has been nominated by the regular reporting senior to complete and sign fitness reports, and whose nomination has been approved by the Chief of Naval Personnel. A delegated reporting senior does not exercise command, nor does he report on officers senior to himself; he signs the fitness reports over the title of his own office, NOT over the title of the regular reporting senior.

Preparation

The fitness report forms now in use are NavPers 1611/1 (Rev. 12-69) for officers below flag rank, and NavPers 1611/2 (Rev. 7/69) for officers of flag rank. No separate worksheet is provided as NavPers 1611/1 is used as a worksheet.

NAVPERS 1611/1 (Rev. 12-69) REPORT ON THE FITNESS OF OFFICERS WORKSHEET

(Refer to BUPERSINST 1611 Series)

1. NAME (Last, first, middle)	2. GRADE	3. DESIGNATOR	4. SSAN	
CURRY, Melvin Radar	LT	6202	476-36-8569	NA

6. SHIP OR STATION (at which duty evaluated was performed): STAFF, COMNAVAIRLANT, NORFOLK

7. DATE REPORTED THIS DUTY STATION: 1 November 19__

8. OCCASION FOR REPORT: [X] PERIODIC [ ] DETACHMENT OF REPORTING SENIOR [ ] DETACHMENT OF OFFICER

9. TYPE OF REPORT: [X] REGULAR [ ] CONCURRENT [ ] SPECIAL

10. PERIOD OF REPORT: FROM: 15 Oct 19__ TO: 31 Jan 19__

11. DUTIES: (Identify PRIMARY and principal COLLATERAL duties assigned, indicating number of months assigned each during period of report - list Primary duties first. For reports based on other than 'Closer Observation' indicate after Primary duty the number of months duties assigned followed by the number of months duties were performed physically separated from the reporting senior, if applicable, (e.g. 6/4). Indicate inclusive date of periods of non-availability due to hospitalization, temporary additional duty, leave and travel between duty stations. Describe the demands, qualifications necessary, responsibilities, and conditions peculiar to any billet of an unusual nature and not understood by naval officers in general - append supplemental sheet for this purpose if space is inadequate.)

Personnel Officer (4)
First Lieutenant (4)
Top Secret Control Officer (4)
Staff Duty Officer (4)

15 Oct 19__ - 31 Oct 19__, Leave, Proceed and Travel

21.47

Figure 2-2.—Items 1-11 completed by officer reported on.

When fitness report time rolls around, each officer being reported on is given a NavPers 1611/1 on which he completes items 1 through 11. (See fig. 2-2.) Upon completion of this phase, the officer turns the worksheet over to his immediate superior, let's say his department head. The department head makes the initial evaluation, then passes the worksheet on to the executive officer, who reviews the comments of the department head. The XO enters his recommendations, if any, and turns the fitness report over to the captain. When the captain has made his comments, the report is ready for smooth typing. In large activities, the evaluating officers may use different colored pencils in making their comments. By so doing, the YN preparing the smooth fitness report will know which comments to transpose to the smooth. In small commands, such an elaborate system may not be necessary.

In large activities a control system used by the captain's office ensures orderly flow of officer's fitness reports (figure 2-3). This control system tells you when fitness reports are held by a department too long, and also serves to pinpoint the location of one or more fitness report at any given time. If the XO wants to know the whereabouts of the fitness report on Ensign Simmonett, you would have the answer at your fingertips by checking your flow sheet.

Guidance for completion and submission of fitness reports on flag officers is contained in BuPers Instruction 1611.13 series.

Any significant difference in marks assigned an officer on two successive reports must be explained by his reporting senior whether the mark spread works to the advantage or disadvantage of the officer reported on. For this reason, reporting seniors keep the fitness report worksheet for reference to be sure a notable variation in marks assigned is intentional. The worksheet is not made available to anyone without permission of the reporting senior. If you are given custody of these worksheets, be sure they are destroyed when the reporting senior is relieved. Fitness report worksheets are never passed on to a reporting senior's relief, nor are they retained in your files.

ENS AND WO-W-1

FITNESS REPORT WORKSHEETS FOR PERIOD ENDING 7-31-72

NAME	TO: OFF. REP. ON	TO: DEPT. HEAD	TO: XO	TO: CO	SMOOTH MAILED TO BUPERS
SIMMONETT	7-25	7-26	7-26	8-2	8-10
ANDERSON	7-25	7-26	7-27	8-2	8-10
ANDREWS	7-25	7-26	7-27	8-2	8-10
DONOVAN	7-25	7-28	7-28	8-2	8-11
JOHNSON	7-25	7-27	7-28	8-2	8-11
MANSFIELD	7-25	7-26	7-27	8-2	8-11
ROBERTS	7-25	7-28	7-29	8-2	8-10

21.47

Figure 2-3.–Flow sheet for Fitness Report worksheets.

Smooth Reports

Only the original is made of each fitness report. It is completed front and back, and should be free of erasures and interlineations. Minor errors will not cause fitness reports to be returned by the Chief of Naval Personnel, but any erasure or deletion which might affect an officer's future must be initialed by the reporting senior before it is forwarded to the Chief of Naval Personnel. There must be no doubt as to what the reporting senior intended to say.

Block 19 of NavPers 1611/1 and block 15 of NavPers 1611/2 (figures 2-4 and 2-7 respectively), must contain the name, grade, social security number, designator, and title of the reporting senior. "Immediate Superior in Command," "Reporting Senior," et cetera are not acceptable.

Reports on all officers are forwarded to the Chief of Naval Personnel or endorsing senior within 15 days following the terminal date for each report. In each instance where an officer is nominated for accelerated promotion or is a Captain, and the reporting senior is other than a flag or general officer, NavPers 1611/5 (Endorsement on Report on the Fitness of Officers) is used to forward the fitness report to the first flag or general officer in the reporting senior's chain of command for endorsement.

The receipt portion of each fitness report (except concurrent fitness reports) is detached by the preparing command and delivered or mailed to each officer when the smooth fitness report is forwarded to the Chief of Naval Personnel (See figure 2-6). To avoid loss or misrouting of concurrent fitness reports, the receipt is mailed to the Chief of Naval Personnel when the report is forwarded to the regular reporting senior for his countersignature.

Since reports of fitness are confidential in nature, they are transmitted in a double envelope. The inner envelope is marked "Report of Fitness, For Official Use Only." In the case of

NAVPERS 1611/1 (Rev. 12-69) REPORT ON THE FITNESS OF OFFICERS (Refer to BUPERSINST 1611 Series)

1. NAME (Last, first, middle)	2. GRADE	3. DESIGNATOR	4. SSAN	
CURRY, Melvin Radar	LT	6202	476-36-8569	NA

6. SHIP OR STATION (at which duty evaluated was performed): STAFF, COMNAVAIRLANT, NORFOLK

7. DATE REPORTED THIS DUTY STATION: 1 November 19__

8. OCCASION FOR REPORT: [X] PERIODIC [ ] DETACHMENT OF REPORTING SENIOR [ ] DETACHMENT OF OFFICER

9. TYPE OF REPORT: [X] REGULAR [ ] CONCURRENT [ ] SPECIAL

10. PERIOD OF REPORT: FROM: 1 Jan 19__ TO: 29 Feb 19__

11. DUTIES: (Identify PRIMARY and principal COLLATERAL duties assigned, indicating number of months assigned each during period of report - list Primary duties first. For reports based on other than "Close Observation" indicate after Primary duty the number of months duties assigned followed by the number of months duties were performed physically separated from the reporting senior, if applicable. (e.g. 6/4). Indicate inclusive date of periods of non-availability due to hospitalization, temporary additional duty, leave and travel between duty stations. Describe the demands, qualifications necessary, responsibilities, and conditions peculiar to any billet of an unusual nature and not understood by naval officers in general - append supplemental sheet for this purpose if space is inadequate.)

Personnel Officer (4)
First Lieutenant (4)
Top Secret Control Officer (4)
Staff Duty Officer (4)

15 Dec 19__ - 31 Dec 19__, Leave, Proceed and Travel

12. EMPLOYMENT OF COMMAND (DEPARTMENT/DIVISION/UNIT) DURING PERIOD OF THIS REPORT: (The setting in which officer employed; his relationship to others; use of code, names, unusual or extreme abbreviations): Employed in AEW/ASW operations in the North Atlantic area under the OPCON of COMNAVFORLANT and under the Admin/Military control of COMNAVAIRLANT.

13. GENERAL INSTRUCTIONS

(a) ALL EVALUATIONS MADE IN THIS REPORT SHALL BE IN COMPARISON WITH OFFICERS OF THE SAME GRADE, COMPETITIVE CATEGORY (I.E., UNRESTRICTED LINE WITH UNRESTRICTED LINE, SUPPLY CORPS WITH SUPPLY CORPS, ETC.), AND APPROXIMATE TIME IN GRADE WHOM YOU HAVE KNOWN.

(b) A MARK IN THE HIGHEST MARKING BOX OF SECTION 18(a) CONSTITUTES A NOMINATION FOR ACCELERATED PROMOTION AHEAD OF YEAR GROUP. SUCH A REPORT, IF NOT COMPLETED BY A FLAG OFFICER, MUST BE FORWARDED VIA THE NEXT SENIOR IN THE CHAIN OF COMMAND FOR REVIEW AND ENDORSEMENT ON SUPPLEMENTAL FORM NAVPERS 1611/5 (REV. 12-69).

(c) REPORTS ON CERTAIN CAPTAINS, IF NOT COMPLETED BY A FLAG OR GENERAL OFFICER, MUST BE FORWARDED VIA THE FIRST FLAG OR GENERAL OFFICER IN THE CHAIN OF COMMAND, FOR ENDORSEMENT AND COMMENT REGARDING FLAG POTENTIAL. USE SUPPLEMENTAL FORM NAVPERS 1611/5, (REV. 12-69).

14. Entries on this report are based on which one of the following relationships?
[X] Close Observation [ ] Frequent Observation [ ] Infrequent Observation [ ] Records and Reports Only

15. PERFORMANCE OF DUTIES: (Indicate evaluation by "X" in appropriate marking column for each item and provide supporting comments in Section 21)

(Details of duties noted in Section 11)		NOT OBS OR N.A.	Outstanding performance.		Excellent performance. Frequently demonstrates outstanding performance.		Very good performance. Frequently demonstrates excellent performance.		Satisfactory performance. Basically qualified.		Inadequate performance. He is not qualified. (Adverse)
(a) EVALUATION OF OVERALL PERFORMANCE OF ALL DUTIES ASSIGNED			X								
(b) SPECIFIC ASPECTS OF DUTIES	(1) SHIPHANDLING AND SEAMANSHIP	X									
	(2) AIRMANSHIP	X									
	(3) SUBSPECIALTY/SPECIALTY (IDENTIFY):	X									
	(4) MANAGEMENT		X								
	(5) AS Staff WATCH/DUTY OFFICER		X								

16. DESIRABILITY: Indicate your attitude toward having this officer under your command in the following categories of assignment:

CATEGORIES	NOT OBS	Particularly desire		Prefer to most		Pleased to have		Satisfied to have		Prefer not to have (Adverse)
(a) COMMAND		X								
(b) OPERATIONAL		X								
(c) STAFF		X								
(d) JOINT/OSD		X								
(e) FOREIGN SHORE			X							

17. FUTURE ASSIGNMENT: Based on your observation of this officer's capacity for accepting increased responsibilities, for what type of duty do you consider him best qualified for future assignment - sea and shore? (Including employment in a subspecialty for which best fitted)

(a) SEA Admin/Personnel Officer CVA
(b) SHORE Naval Station/Naval Air Station

Comment, if appropriate

18. OVERALL EVALUATION:

(a) BASED ON YOUR OBSERVATION OF THIS OFFICER'S PERFORMANCE AND CONSIDERING EVERYTHING THAT YOU KNOW ABOUT HIM, HOW WOULD YOU DESIGNATE HIM?*

NOT OBS	NOMINATE HIM FOR ACCELERATED PROMOTION	One of the top few	An excellent officer of great value to the service	A fine and typically effective officer	Entirely satisfactory in present grade	Unsatisfactory (Adverse)
	*	X				

*If you designate more than one in this category, you must indicate this officer's standing in relation to the others (e.g., 1 of 3, 2 of 3, 3 of 3, etc.)

(b) In order to assist report users in making comparison among reports submitted by different seniors with varying standards of evaluation, a reasonably large sampling of the overall evaluations given other officers at this time is required. Accordingly, for reports submitted on this occasion, indicate here how many officers of his grade (including all categories or designators and time in grade) you have marked in each category of (a). Indicate line/staff corps breakdowns within each summary figure. (e.g., 5(3L/2S), 11(9L/2S), etc.) The reporting of no breakdown will indicate that all are the same general category.

		3(2L/1S)							

19. NAME, GRADE, SSAN, DESIGNATOR, AND TITLE OF REPORTING SENIOR
A. C. HAAS, CAPT, 476-36-8569, 1100, COMNAVAIRLANT

21.47

Figure 2-4.—Smooth Fitness Report, front side.

NAVPERS 1611/1 (Rev. 12-69) (BACK)

20. PERSONAL CHARACTERISTICS: *To what degree has this officer exhibited the following qualities?*

MARKING INSTRUCTIONS

Assign a mark of "X" in the appropriate column for each quality.

EQUAL OPPORTUNITY PERFORMANCE

	NOT OBSERVED	IS NOT EXCUSED	ONE OF THE TOP FEW	ABOVE THE MAJORITY		EQUAL TO THE MAJORITY		BELOW THE MAJORITY	BARELY SATISFACTORY	UNSATISFACTORY (ADVERSE)
(a) PROFESSIONAL KNOWLEDGE *(Comprehension of all aspects of the profession)*		X								
(b) MORAL COURAGE *(To do what he ought to do regardless of consequences to himself)*		X								
(c) LOYALTY *(His faithfulness and allegiance to his shipmates, his command, the service and the nation)*		X								
(d) FORCE *(The positive and enthusiastic manner with which he fulfills his responsibilities)*		X								
(e) INITIATIVE *(His willingness to seek out and accept responsibilities)*		X								
(f) INDUSTRY *(The zeal exhibited and energy applied in the performance of his duties)*		X								
(g) IMAGINATION *(Resourcefulness, creativeness, and capacity to plan constructively)*		X								
(h) JUDGMENT *(His ability to develop correct and logical conclusions)*		X								
(i) ANALYTICAL ABILITY *(Logical incisiveness which discriminates between assumption, fact, and hypothesis)*		X								
(j) DECISIVENESS *(The ability to act rationally and with dispatch within limits of authority assigned or delegated)*		X								
(k) RELIABILITY *(The dependability and thoroughness exhibited in meeting responsibilities)*		X								
(l) COOPERATION *(His ability and willingness to work in harmony with others)*		X								
(m) PERSONAL BEHAVIOR *(His demeanor, disposition, sociability and sobriety)*				X						
(n) MILITARY BEARING *(His military carriage, correctness of uniform, smartness of appearance and physical fitness)*			X							
(o) SELF-EXPRESSION *(ORAL) (His ability to express himself orally)*		X								
(p) SELF-EXPRESSION *(WRITTEN) (His ability to express himself in writing)*			X							

21. COMMENTS: Make specific comments consistent with marks in other sections. Mention strengths, special accomplishments, or weaknesses. Emphasize displayed potential for professional development and leadership ability and potential for assuming greater responsibilities and promotion. Support nominations for accelerated promotion fully. Comment upon degree of attainment of objectives for which subordinate was accountable. When applicable: comment upon efforts and effectiveness in retention/reenlistment of quality personnel; upon economy displayed by effective use of manpower/material; attention to and use of good material maintenance procedures and engineering practices. Comment on performance in, and contribution to, subspecialty, if appropriate. Mention attainment of specific qualifications (e.g., OOD Underway, plane commander, submarine or destroyer command, etc.). (THIS SPACE MUST NOT BE LEFT BLANK)

LT CURRY has performed his duties as personnel officer in an outstanding manner. His sincere interest in the welfare of his men reflects one of the traits of leadership so essential in career officers. LT CURRY has the complete respect of his seniors and subordinates, and he is highly recommended for promotion when due.

22. ADMINISTRATIVE ACTION: (Each question in this section MUST be answered)

(a) Significant weaknesses should be discussed with the officer-- Has this been done? ☐ YES ☐ NO *(Explain in Section 21)* ☒ NO SIGNIFICANT WEAKNESSES NOTED

(b) What has been the trend of his performance since your last report? ☒ FIRST REPORT ☐ IMPROVING ☐ CONSISTENT ☐ DECLINING *(Must discuss with officer)*

(c) Has the officer seen this report? ☒ YES ☐ NO In the interest of maintaining effective communications with subordinates, reporting seniors are encouraged to discuss this report with the officer, but not necessarily show it to him. Has this been done? ☒ YES ☐ NO

(d) Communications which are a direct reflection of this officer's performance should be considered in making comments in Section 21. Such communications may be forwarded separately for file in his Selection Board Jacket. Exception: A copy of a letter of censure (including appeal and denial) must be appended to the first fitness report submitted after it becomes final.

(e) Reports containing matter of an adverse nature (in marks or comments or appended) must be referred for statement pursuant to Navy Regulations. Statement of officer must be endorsed and attached to this report.

23. DATE FORWARDED	SIGNATURE OF REPORTING SENIOR	Concurrent and special reports must be forwarded via the officer's regular reporting senior. To avoid possible loss or misrouting of a concurrent or special report, the receipt form must be mailed direct to BuPers as the concurrent or special report is forwarded to the regular reporting senior.
10 February 19__		
24. DATE NOTED AND FORWARDED	SIGNATURE OF REGULAR REPORTING SENIOR ON CONCURRENT OR SPECIAL REPORT	

21.47

Figure 2-5.–Fitness Report, reverse side.

FITNESS REPORT RECEIPT

1. NAME (Last, first, middle)	2. GRADE	3. DESIGNATOR	4. SSAN	
WHIPPERMAN, William Braxton	LCDR	6202	476-36-8569	NA

6. SHIP OR STATION (at which duty evaluated was performed): COMCRUDESFLOT THREE

7. COMMAND SUBMITTING CONCURRENT/SPECIAL REPORT:

8. OCCASION FOR REPORT: [X] PERIODIC [ ] DETACHMENT OF REPORTING SENIOR [ ] DETACHMENT OF OFFICER

9. TYPE OF REPORT: [X] REGULAR [ ] CONCURRENT [ ] SPECIAL

10. PERIOD OF REPORT: FROM: 1 May 1972 TO: 30 April 1973

11. FOR CONCURRENT/SPECIAL REPORT INDICATE COMMAND TO WHICH FORWARDED AND DATE FORWARDED (Send this form direct to BUPERS)

COMMAND: DATE:

(Enter below: Grade, Name, SSAN,/Designator and Address and ZIP Code to which this receipt is to be returned.)

DELIVER OR MAIL TO THE OFFICER
WHEN FITNESS REPORT IS MAILED
TO THE CHIEF OF NAVAL PERSONNEL

(ZIP CODE)

NAVPERS 1611/1 (Rev. 12-69) S/N 0106-078-3111

FLAG OFFICER FITNESS REPORT RECEIPT

6. SHIP OR STATION: COMNAVPHIL

7. DATE REPORTED PRESENT DUTY STATION: 1 October 1972

8. OCCASION FOR REPORT: [X] PERIODIC [ ] DETACHMENT OF REPORTING SENIOR [ ] DETACHMENT OF OFFICER

9. TYPE OF REPORT: [ ] REGULAR [X] CONCURRENT [ ] SPECIAL

10. PERIOD OF REPORT: FROM: 1 Oct 1972 TO: 30 Sep 1973

(Enter below: Grade, Name, SSAN,/Designator and Address to which this receipt is to returned.)

FOR CONCURRENT REPORTS, INDICATE COMMAND SUBMITTED BY:

CINCPAC

VADM RICHARD D. MORGAN, 476-36-8569/1100
1100 STEAMSHIP ROUND
VALLEY JOE, CALIFORNIA 47636

DATE RECEIVED IN BUPERS →

NAVPERS 1611/2 (7-69) (Formerly NAVPERS 310A) S/N 0106-078-3120

21.47

Figure 2-6.—Fitness Report Receipt.

REPORT ON THE FITNESS OF
FLAG OFFICERS
NAVPERS 1611/2 (7-69) (Formerly NAVPERS 310A)

LEGIBLE HANDWRITING IS ACCEPTABLE FOR ANY PORTION OF THIS FORM

1. NAME (Last, first, middle) | 2. GRADE | 3. USN (R) | 4. DESIGNATOR | NA | 5A. SOCIAL SECURITY NO.

6. SHIP OR STATION | 7. DATE REPORTED PRESENT DUTY STATION

8. OCCASION FOR REPORT: ☐ PERIODIC ☐ DETACHMENT OF REPORTING SENIOR ☐ DETACHMENT OF OFFICER | 9. TYPE OF REPORT: ☐ REGULAR ☐ CON-CURRENT ☐ SPECIAL | 10. PERIOD OF REPORT: FROM: TO:

11. DUTIES *(List principal duties assigned and the number of months during the period for which assigned)*

12. EMPLOYMENT OF COMMAND DURING PERIOD OF THIS REPORT

13. REFERENCE HERE AND APPEND ANY COMMENDABLE OR ADVERSE REPORTS ON THIS OFFICER RECEIVED DURING THE PERIOD OF THIS REPORT.

14. PROFESSIONAL PERFORMANCE:

15. NAME, GRADE, SSAN, DESIGNATOR AND OFFICIAL TITLE OF REPORTING SENIOR

21.47

Figure 2-7.–Fitness Report for Flag Officers, front side.

NAVPERS 1611/2 (7-69) (Formerly NAVPERS 310A)

16. PERSONAL QUALITIES:

17. PROMOTION POTENTIAL:

18. FUTURE ASSIGNMENT:

19. ENTRIES ON THIS REPORT ARE BASED ON *(Check appropriate box)*

☐ DAILY CONTACT AND CLOSE OBSERVATION ☐ FREQUENT OBSERVATION ☐ INFREQUENT OBSERVATION ☐ RECORDS AND REPORTS ONLY

20. (a) Reports containing adverse matter must be referred for statement pursuant to Navy Regulation and the statement of the officer must be attached to this report.

☐ STATEMENT ATTACHED ☐ NOT LICABLE

(b) Has officer seen this report? ☐ YES ☐ NO

21. DATE FORWARDED	SIGNATURE OF REPORTING SENIOR

22. CONCURRENT REPORT:

DATE FORWARDED	SIGNATURE OF REGULAR REPORTING SENIOR

21.47

Figure 2-8.—Fitness Report for Flag Officers, reverse side.

NAVPERS 1611/5 (Rev. 12-69) ENDORSEMENT ON REPORT ON THE FITNESS OF OFFICERS S/N-0106-078-3151

1. NAME (Last, first, middle)	2. GRADE	3. DESIGNATOR	4. SSAN
			NA

6. SHIP OR STATION (at which duty evaluated was performed)

7. TOTAL NUMBER OF MONTHS THIS OFFICER HAS BEEN OBSERVED BY REPORTING SENIOR –

8. OCCASION FOR REPORT
☐ PERIODIC ☐ DETACHMENT OF REPORTING SENIOR ☐ DETACHMENT OF OFFICER

9. TYPE OF REPORT
☐ REGULAR ☐ CONCURRENT ☐ SPECIAL

10. PERIOD OF REPORT
FROM: TO:

11. (a) Forwarded for endorsement and further forwarding to the Chief of Naval Personnel (Pers E23)
(b) (Indicate appropriate forwarding statement(s))
☐ I nominate the above named officer for accelerated promotion ahead of contemporaries and/or
☐ Above named officer is a captain.

12. DATE FORWARDED	SIGNATURE OF REPORTING SENIOR

13. ENDORSEMENT

14. DATE FORWARDED TO BUPERS (*via Regular Reporting Senior, if concurrent or special report*)	NAME, GRADE, SSAN, TITLE AND SIGNATURE OF REGULAR REPORTING
15. DATE NOTED AND FORWARDED TO BUPERS	NAME, GRADE, SSAN, TITLE AND SIGNATURE OF REGULAR REPORTING SENIOR ON CONCURRENT OR SPECIAL REPORT

16. INSTRUCTIONS:

(a) The Navy recognizes officer performance evaluation as a command prerogative and responsibility. Because of this, we have traditionally placed this responsibility at the command level, only permitting delegation in large staffs and major shore establishments with the prior approval of the Chief of Naval Personnel. The endorsement procedure is not intended to abridge this command prerogative or responsibility in any way. Rather, it is the intent of this procedure to provide report users (selection board members and assignment officers) the broader viewpoint of a more experienced senior.

(b) In recognition of the added administrative effort imposed by this procedure, periodic report terminal dates have been established approximately three (3) months prior to the usual convening dates of selection boards for each grade. Reporting seniors must ensure that reports not requiring endorsement are forwarded to the Chief of Naval Personnel (Pers E23), and those requiring endorsement are forwarded to the endorsing senior, within fifteen (15) days of the terminal date of the report. Endorsing seniors must endorse and forward to the Chief of Naval Personnel (Pers E23) those reports received for endorsement within fifteen (15) days of receipt from the reporting senior.

(c) Endorsements on this form should fall into three general categories:

"Forwarded" - meaning that the report has been examined with all other reports on officers of the same grade submitted by or sighted by the endorsing senior; but that the endorsing senior has little personal knowledge of the officer's performance (same connotation as "Records and Reports only").

"Forwarded concurring" - indicating that the endorsing senior has sufficient personal knowledge to have a broad feel for the officer's performance but detailed observation only under a limited set of conditions (same connotation as "Infrequent Observation").

"Forwarded with comments" - indicating that, while the officer did not report directly to the endorsing senior, he was observed by him under circumstances permitting meaningful evaluation (same connotation as "Frequent Observation").

Endorsing seniors should make every effort to forward each report with some meaningful comment. Endorsements on captains' reports shall contain comment regarding potential for flag selection whenever possible.

21.47

Figure 2-9.–Endorsement on Report on the Fitness of Officers.

a letter of censure (including appeal and denial), a copy of the letter must be appended to the first fitness report submitted after the letter of censure becomes final. All other correspondence should be forwarded separately for file in the officer's Selection Board Jacket.

A reminder – always consult the up-to-date instructions and notices for proper preparation of fitness reports.

Secretary's Duties Summarized

Earlier we listed the functions a ship's secretary fulfills. Let's summarize the various duties he performs in fulfilling those functions:

- Administers CO's office
- Reviews outgoing correspondence
- Processes incoming correspondence
- Maintains the central files
- Forwards required reports
- Maintains a library of ship's publications
- Reproduces and issues ship's directives
- Checks accuracy of personnel accounting for officer and civilian personnel
- Processes officers' orders
- Controls officers' fitness reports

CHAPTER 3

MAKING THINGS EASIER FOR YOU

WORK SIMPLIFICATION

Work simplification is a systematic method of identifying and analyzing work problems, developing solutions, and installing improvements which will aid in more effective utilization of the Navy's resources.

The work simplification program is designed to achieve better utilization of equipment, material, time, and personnel. Another resource which is inexhaustible and at times unused is human ingenuity. It is this element that the work simplification program is designed around. Improvement through application of human ingenuity to the work situation is one definition of work simplification.

During an organization survey, areas may be discovered where various types of improvements, such as revision of work assignments, elimination of bottlenecks and of unnecessary or duplicating steps, appear to be desirable. Techniques have been developed for analyzing work routine and pointing out where and how improvements should be made.

Before attempting improvements, you must know exactly what the existing processes are, who performs them, the order in which they are performed, and the circumstances under which they are performed. These are determined by the following analysis techniques:

- Work distribution analysis
- Work count analysis
- Flow process analysis
- Motion analysis
- Layout analysis

Each of these techniques has its own procedures for recording data and recommending improvements.

WORK DISTRIBUTION ANALYSIS

Distribution of work is an important factor in efficient use of manpower. Time and effort are saved if related duties are performed by the same person. Matching of assignments and qualifications is important so personnel do not struggle with work that is too hard, or waste their time on jobs that could be performed by a less skilled individual. Another consideration is distribution of workload to avoid inequities, since this may result in bottlenecks and inefficiency.

FORMS FOR GATHERING DATA

For gathering data on distribution of workload and making recommendations for improvement, three types of forms are used. Study of each form will help you to see what types of information are sought, how they are sought, and how proposals for change are developed.

TASK LIST.—A task list is filled out for each person whose work is being studied. The worker may fill it out with the help of his supervisor and the analyst, as necessary. As you can observe in figure 3-1, the form contains a complete list, in simple statements, of the tasks the worker performs regularly. Righthand columns show the number of hours per week he spends on each task, and the number of units of each he turns out in a week's work. The last column at the right shows which function, indicated on the function list, each task belongs to.

TASK LIST
FOR WORK DISTRIBUTION CHART

PREPARED BY	BILLET TITLE	GRADE OR RATE
H. I. Jarman	Typist	YN3
SUPERVISOR: A. B. Clark	ORGANIZATION: Administrative Division, Public Works Dept.	DATE: 1 April 19__

TASK NUMBER	TASK (Concise, but descriptive information)	HOURS PER WEEK	WORK COUNT	*POSTED TO FUNCTION NO
1.	Type correspondence	11	25	1
2.	Type Public Works Requisitions	14	30	4
3.	Type weekly station reports	7	5	5
4.	Prepare time reports	10		7
5.	Inventory office supplies	1		11
	Collateral Duties (fund collecting, etc.)			
	TOTAL HOURS PER WEEK	43		*Above completed by supervisor

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Figure 3-1.—Task List.

FUNCTION LIST.–The function list (see fig. 3-2) is prepared by an officer or the leading petty officer. It is a list of the general functions performed in the unit. Numbers assigned to these functions connect the tasks on the individual task lists with the functions to which they belong. The function list may also include a count of the number of items produced for each function.

WORK DISTRIBUTION CHART.–With the function list and all the individual task lists prepared, the material is ready for making the work distribution chart for the existing organization. As you can see from figure 3-3, the first three columns reproduce the function list. This is followed by a group of columns for each worker. On this chart each worker's tasks are listed in the column under his name, and opposite the function to which they are related. If work count is shown, the work counts for all personnel should equal the total shown in the function section. Total hours per week for each function should also tally with the sum of hours worked on that function by all personnel.

ANALYSIS

The work distribution chart is a method of arranging the facts so that they can be studied easily and so that trouble spots will show up readily. Once the chart is prepared, the analyst should examine it, asking questions such as the following:

- What functions take the most time? Does the importance of each of these functions justify the time spent? Why do they take so much time?
- Is there misdirected effort? Is a large amount of time spent on unnecessary or relatively unimportant work? Are individuals using their time to best advantage?
- Are skills being used properly? Are all personnel performing at the level where they can make their greatest contribution? Are skilled personnel performing unskilled jobs? Are personnel assigned to jobs that do not fit their skills?
- Are personnel doing too many unrelated tasks? Are time and motion lost because related tasks have not been grouped together and assigned to the same person?

CAUTION.–The specialization implied here should not be overdone to the point where it destroys organizational flexibility.

- Are tasks spread too thinly? Are so many people doing the same task as to constitute duplication of effort? Is there danger of difficulty in fixing responsibility? Are there inconsistencies in policy and procedures, interruptions of performance, loss of time?
- Is work distributed evenly? Does one person overwork while another has time to spare? Does everyone do a fair day's work?

Application

Careful study of the work distribution chart should make it possible to achieve the following results:

- Discover and eliminate unnecessary tasks.
- Reduce time spent on less important functions.
- Eliminate duplication or overlapping of work.
- Bring workloads into better balance.
- Combine related tasks.
- Estimate personnel needs realistically.
- Use skills more effectively.
- Reallocate misassigned personnel.
- Provide for indoctrination of new personnel.
- Determine whether assigned functions really belong to the organization.

When the situation has been analyzed and possibilities for improvement discovered and evaluated, a new work distribution chart should be prepared showing the proposed changes. (See figure 3-4 for a sample revision of the chart shown in figure 3-3.)

WORK COUNT ANALYSIS

Work count is a device for measuring volume of output. It provides information which can be combined with results of the other analytical processes of the work simplification program.

FUNCTION LIST
FOR WORK DISTRIBUTION CHART

PREPARED BY	BILLET TITLE	GRADE OR RATE
A. B. Clark, USN	Administrative Officer	LTJG
SUPERVISOR	**ORGANIZATION**	**DATE**
A. B. Clark, USN	Administrative Division Public Works Dept.	1 April 19__

FUNCTION NUMBER	FUNCTION *(General, but descriptive information)*	WORK COUNT OR VOLUME (OPTIONAL)
1.	Preparation of Correspondence	50
2.	Processing Incoming Correspondence	220
3.	Maintenance of Central Files	
4.	Administration of Public Works Funds	
5.	Work Progress Control and Reporting	
6.	Preparation of Public Works Budget	
7.	Preparation of Time Reports	
8.	Maintenance of Civilian Personnel Records	
9.	Supervision of Division	
10.	Receptions of Public Works Calls and Visitors	
11.	Miscellaneous	

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Figure 3-2.—Function List.

COLLECTING FACTS

No special form is used for work count analysis. Its results may be recorded on the work distribution chart.

WHAT TO COUNT.–Items of work counted should be definite and comparable. For instance, letters typed might be counted whether long or short, but the typing of rosters or other lists should not be included with the letters. Items counted should also be representative of work usually performed. Only those should be counted that shed light on methods employed.

WHERE TO COUNT.–Counting may properly take place at the following key points: (1) where the work comes into the organization; (2) where a decision is made or action is taken; (3) where a process is completed; (4) where long storage occurs.

WAYS OF COUNTING.–There are several ways of counting: The analyst may count as he observes; the diary method may be used for keeping a tally; mechanical counting devices may be used; a numbering system, such as that on bank checks, may be used to compute rapidly by subtraction.

APPLICATION

Work count information can be used to accomplish or help accomplish the following:

- Establish how long it takes to do a given piece of work.
- Indicate whether the volume of a certain piece of work is sufficient to warrant specialization.
- Show whether work is distributed evenly among workers.
- Point out bottlenecks where work piles up.
- Indicate whether the organization is adequately manned, overmanned, or undermanned.
- Stimulate interest of personnel by providing comparisons of one person's work with that of another or with his own record during a different counting period.

FLOW PROCESS ANALYSIS

One example of flow process is an assembly line in which an article is carried along on a conveyor belt with various operations performed on it as it goes along. Similarly, one can mark out the route of a letter going through an office, or of recruits receiving their physical examinations. Flow process analysis consists in diagramming this route, whatever it is, so that it may be analyzed and revised where revision appears desirable.

SYMBOLS USED

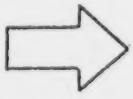
Certain symbols were devised by some of the first civilians who conducted work flow studies, and these, in approximately the same form, have come to be universally used. They are used to classify the steps in a work process. They enable the analyst to distinguish between productive and nonproductive steps and thereby serve as a guide in eliminating those that are nonproductive and time-wasting. Five of these symbols have been adopted for use in Navy work simplification studies. You should understand their meanings and be able to use them. The five symbols are:

OPERATION

An operation represents the main steps in the process. Something is created, changed, or added to. Usually transportations, inspections, delays, and storages are more or less auxiliary elements. Operations involve activities such as forming, shaping, assembling, and disassembling. Examples of Operations:

- Wrapping a part
- Typing a letter
- Drilling a hole
- Interviewing a recruit

TRANSPORTATION



Transportation is the movement of the material or man being studied from one position or location to another. When materials are stored beside or within two or three feet of a bench or machine on which the operation is to be

YEOMAN 1 & C

ORGANIZATION CHARTED

ADMINISTRATIVE DIVISION, PUBLIC WORKS DEPT

☒ EXISTING ORGANIZATION ☐ RECOMMENDED ORGANIZATION

CHARTED BY LTJG A. B. Clark, USN

ARRANGE ACTIVITIES TOP TO BOTTOM IN ORDER OF IMPORTANCE

FUNCTION NUMBER	FUNCTION	WORK[1] COUNT	HOURS PER WEEK	NAME A. B. Clark BILLET Administrative Officer — TASKS	WORK[1] COUNT	GRADE - RATE SCLK — HOURS PER WEEK	NAME E. F. Gordon BILLET Stenographer — TASKS	WORK[1] COUNT	GRADE - RATE GS-4 — HOURS PER WEEK
1.	Preparation of Correspondence	50	87	Screen, assign and review correspondence	50	15	Take and transcribe dictation	20	19
	Most time --- Flow Process?					Proper use of skills?			
2.	Process Incoming Correspondence	220	15	Screen and route correspondence	220	5			
				Proper use of skills?					
3.	Maintenance of Central Files		9	Supervise maintenance of files			File Correspondence		2
				Misdirected effort?					
4.	Administration of P. W. Funds		36	Analyze, allocate & report on funds		3	Post and dispatch requisitions	30	2
				Maintain records of funds		3			
				Plan & estimate P. W. funds		10	Proper use of skills?		
5.	Work Progress Control and Reporting		32	Answer inquiries and prepare weekly work report			Type weekly station reports	2	2
							Spread-too-thinly		
				Maintain "control & reports" file			Proper use of skills?		
6.	Preparation of Public Works Budget		2	Prepare quarterly budget		2			
7.	Preparation of Time Reports		23	Supervise timekeeping		1			
8.	Maintenance of Civilian Personnel Records		7	Liaison with PRNC		2	Maintain personnel records	170	5
9.	Supervision of Division		6	General supervision		6			
10.	Reception of P.W. Calls and Visitors		13				Misdirected effort?		
11.	Miscellaneous		17	Work distributed evenly?			Collection - Red Cross, etc.		4
	TOTALS (Manhours)					65			34

[1] Work Count data where applicable.

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IF ADDITIONAL COLUMNS ARE REQUIRED, CUT OFF REQUIRED NUMBER FROM ANOTHER BLANK FORM AND ATTACH BY PASTING TO RIGHT HAND MARGIN. ARRANGE INDIVIDUALS LEFT TO RIGHT IN ORDER OF RANK OR PAY GRADE

APPROVED BY: | DATE: 4/1/—

NAME: H. I. Jarman			NAME: K. L. Moore			NAME: N. O. Peters			NAME: Q. R. Smith		
BILLET: Typist	GRADE-RATE: YN3		BILLET: Record Clerk	GRADE-RATE: SN		BILLET: Clerk-Typist	GRADE-RATE: SN		BILLET: Receptionist	GRADE-RATE: SA	
TASKS	WORK COUNT	HOURS PER WEEK	TASKS	WORK COUNT	HOURS PER WEEK	TASKS	WORK COUNT	HOURS PER WEEK	TASKS	WORK COUNT	HOURS PER WEEK
Type Correspondence	25	11	Type Correspondence	10	5	Take and transcribe dictation	30	28	Type Correspondence	15	9
			Unrelated task?						Unrelated task?		
						Sort mail	220	5			
						Maintain mail log		5			
									← Proper use of skills?		
						Maintain Instruction & Notices		3			
						Files					
Type Public Works Requisitions	30	14	Prepare daily labor reports	5	4						
Type weekly station reports	5	7	Prepare progress reports		4						
			Compute Work Measurement data		5						
Prepare time reports		10	Prepare time distribution cards		12						
Spread too thinly?											
						Receive and route visitors; answer telephone inquiries		3	Receive and route visitors; answer telephone inquiries		10
			Unrelated task?								
Inventory office supplies		1	Sort and distribute savings bonds	20	2	P. W. messenger service		6	Sort and distribute checks		4
		43			32	Misdirected effort		50	Work distributed evenly?		23

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ANALYSIS: WHAT TAKES THE MOST TIME?...IS THERE MISDIRECTED EFFORT?..
ARE SKILLS USED PROPERLY?...ARE THERE TOO MANY UNRELATED TASKS?...
ARE TASKS SPREAD TOO THINLY?...IS WORK DISTRIBUTED EVENLY?...

Figure 3-3.—Work distribution chart—existing organization.

ORGANIZATION CHARTED: ADMINISTRATIVE DIVISION, PUBLIC WORKS DEPARTMENT

☐ EXISTING ORGANIZATION ☒ RECOMMENDED ORGANIZATION

CHARTED BY: LTJG A. B. Clarke, USN

FUNCTION NUMBER	FUNCTION	WORK COUNT[1]	HOURS PER WEEK
1.	Preparation of Correspondence	50	84
2.	Processing Incoming Correspondence	220	15
3.	Maintenance of Central Files		9
4.	Administration of P. W. Funds		36
5.	Work Progress Control and Reporting		32
6.	Preparation of Public Works Budget		2
7.	Preparation of Time Reports		23
8.	Maintenance of Civilian Personnel Records		7
9.	Supervision of Division		6
10.	Reception of P. W. Calls and Visitors		13
11.	Miscellaneous		13
	TOTALS (Manhours)		240

NAME: A. B. Clark			NAME: E. F. Gordon		
BILLET: Administrative Officer	GRADE - RATE: SCLK		BILLET: Stenographer	GRADE - RATE: GS- 4	
TASKS	WORK COUNT[1]	HOURS PER WEEK	TASKS	WORK COUNT[1]	HOURS PER WEEK
Review Correspondence	50	5	Supervise preparation	50	7
			Take and transcribe dictation	20	19
			Screen and route correspondence	220	5
			Supervise maintenance of files		4
Analyze, allocate & report on funds		3			
Plan and estimate P. W. funds		10			
Answer inquiries & prepare weekly work report		11			
Prepare quarterly budget		2			
Supervise timekeeping		1			
Liaison with PRNC		2	Maintain personnel records	170	5
General Supervision		6			
		40			40

[1] Work Count data where applicable.

ARRANGE ACTIVITIES TOP TO BOTTOM IN ORDER OF IMPORTANCE

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IF ADDITIONAL COLUMNS ARE REQUIRED, CUT OFF REQUIRED NUMBER FROM ANOTHER BLANK FORM AND ATTACH BY PASTING TO RIGHT HAND MARGIN

ARRANGE INDIVIDUALS LEFT TO RIGHT IN ORDER OF RANK OR PAY GRADE

						APPROVED BY					DATE 4/1/—
NAME H. I. Jarman			NAME K. L. Moore			NAME N. O. Peters			NAME Q.R. Smith		
BILLET Typist	GRADE-RATE YN3		BILLET Record Clerk	GRADE-RATE SN		BILLET Clerk-Typist	GRADE-RATE SN		BILLET Receptionist	GRADE-RATE SA	
TASKS	WORK COUNT	HOURS PER WEEK	TASKS	WORK COUNT	HOURS PER WEEK	TASKS	WORK COUNT	HOURS PER WEEK	TASKS	WORK COUNT	HOURS PER WEEK
Type Correspondence	35	16				Type Correspondence	15	9			
						Take and transcribe dictation	30	28			
									Sort Mail Maintain	220	5
									mail log		5
									Maintain Instruc-		3
									tions & Notices		
Type Public Works requisi-	30	14	Mrintain records of funds		3				Files File Cor-		2
tions			Post and dispatch requisitions	30	2				respondence and Reports		
			Prepare daily labor report	5	4						
Type weekly station reports	7	9	Prepare progress reports		4				Maintain "Control		3
			Compute Work Measure Data		5				& reports" file		
			Prepare time distribution		12						
			cards Prepare time		10						
			reports								
									Receive and route		10
									visitors; answer		
						Receive and route visitors;		3	telephone inquiries		
						answer telephone inquiries			Sort & dist. chks.	170	4
									Sort & dist. bonds	20	2
									P.W. messenger		6
		40			40			40	service		40

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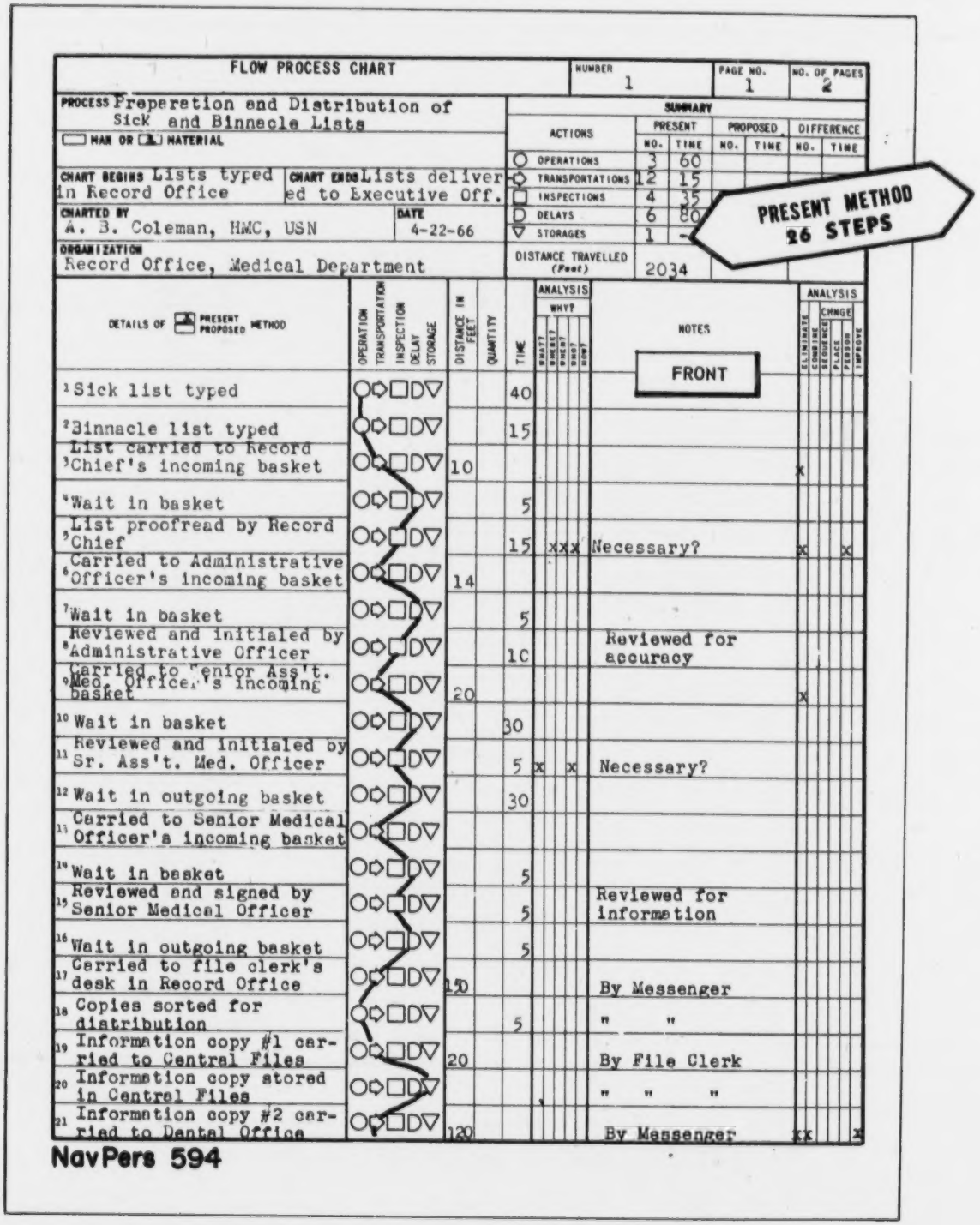
ANALYSIS: WHAT TAKES THE MOST TIME?...IS THERE MISDIRECTED EFFORT?...
ARE SKILLS USED PROPERLY?...ARE THERE TOO MANY UNRELATED TASKS?...
ARE TASKS SPREAD TOO THINLY?...IS WORK DISTRIBUTED EVENLY?

52.9

Figure 3-4.—Work distribution chart—recommended organization.



FLOW PROCESS CHART

NUMBER 1 | PAGE NO. 1 | NO. OF PAGES 2

PROCESS: Preperation and Distribution of Sick and Binnacle Lists

MAN OR MATERIAL

CHART BEGINS: Lists typed in Record Office

CHART ENDS: Lists delivered to Executive Off.

CHARTED BY: A. B. Coleman, HMC, USN

DATE: 4-22-66

ORGANIZATION: Record Office, Medical Department

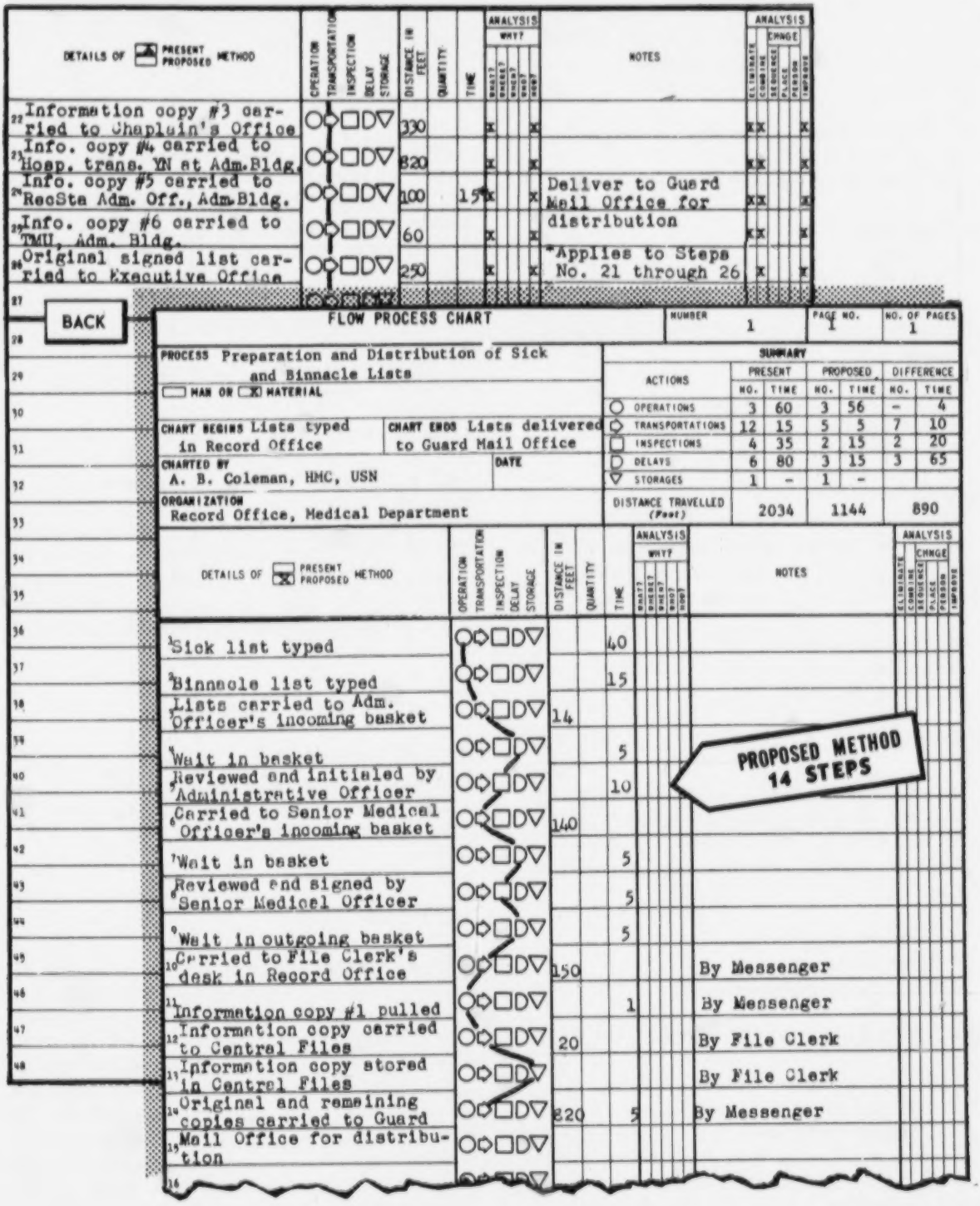
SUMMARY

ACTIONS	PRESENT NO.	PRESENT TIME	PROPOSED NO.	PROPOSED TIME	DIFFERENCE NO.	DIFFERENCE TIME
OPERATIONS	3	60				
TRANSPORTATIONS	12	15				
INSPECTIONS	4	35				
DELAYS	6	80				
STORAGES	1	-				
DISTANCE TRAVELLED (Feet)	2034					

PRESENT METHOD 26 STEPS

DETAILS OF PRESENT / PROPOSED METHOD	OPERATION	TRANSPORTATION	INSPECTION	DELAY	STORAGE	DISTANCE IN FEET	QUANTITY	TIME	ANALYSIS WHY? WHAT?	WHERE?	WHEN?	WHO?	NOTES	ANALYSIS ELIMINATE	COMBINE	CHANGE SEQUENCE	PLACE	PERSON	IMPROVE
1 Sick list typed								40					FRONT						
2 Binnacle list typed								15											
3 List carried to Record Chief's incoming basket						10								X					
4 Wait in basket								5											
5 List proofread by Record Chief								15	x	x	x		Necessary?					X	
6 Carried to Administrative Officer's incoming basket						14													
7 Wait in basket								5											
8 Reviewed and initialed by Administrative Officer								10					Reviewed for accuracy						
9 Carried to Senior Ass't. Med. Officer's incoming basket						20								X					
10 Wait in basket								30											
11 Reviewed and initialed by Sr. Ass't. Med. Officer								5	x		x		Necessary?						
12 Wait in outgoing basket								30											
13 Carried to Senior Medical Officer's incoming basket																			
14 Wait in basket								5											
15 Reviewed and signed by Senior Medical Officer								5					Reviewed for information						
16 Wait in outgoing basket								5											
17 Carried to file clerk's desk in Record Office						150							By Messenger						
18 Copies sorted for distribution								5					" "						
19 Information copy #1 carried to Central Files						20							By File Clerk						
20 Information copy stored in Central Files													" " "						
21 Information copy #2 carried to Dental Office						120							By Messenger	X					X

NavPers 594



DETAILS OF PRESENT / PROPOSED METHOD	OPERATION	TRANSPORTATION	INSPECTION	DELAY	STORAGE	DISTANCE IN FEET	QUANTITY	TIME	ANALYSIS WHY?	NOTES	ANALYSIS CHANGE
22 Information copy #3 carried to Chaplain's Office	○	⇨	□	D	▽	330			X		X
23 Info. copy #4 carried to Hosp. trans. YN at Adm. Bldg.	○	⇨	□	D	▽	820			X		X
24 Info. copy #5 carried to RecSta Adm. Off., Adm. Bldg.	○	⇨	□	D	▽	100		15	X	Deliver to Guard Mail Office for distribution	X
25 Info. copy #6 carried to TMU, Adm. Bldg.	○	⇨	□	D	▽	60			X		X
26 Original signed list carried to Executive Office	○	⇨	□	D	▽	250			X	*Applies to Steps No. 21 through 26	X
27											

BACK

FLOW PROCESS CHART — NUMBER 1 — PAGE NO. 1 — NO. OF PAGES 1

PROCESS: Preparation and Distribution of Sick and Binnacle Lists

☐ MAN OR ☒ MATERIAL

CHART BEGINS: Lists typed in Record Office

CHART ENDS: Lists delivered to Guard Mail Office

CHARTED BY: A. B. Coleman, HMC, USN

DATE:

ORGANIZATION: Record Office, Medical Department

SUMMARY

ACTIONS	PRESENT NO.	PRESENT TIME	PROPOSED NO.	PROPOSED TIME	DIFFERENCE NO.	DIFFERENCE TIME
○ OPERATIONS	3	60	3	56	–	4
⇨ TRANSPORTATIONS	12	15	5	5	7	10
□ INSPECTIONS	4	35	2	15	2	20
D DELAYS	6	80	3	15	3	65
▽ STORAGES	1	–	1	–		
DISTANCE TRAVELLED (Feet)		2034		1144		890

DETAILS OF PRESENT / PROPOSED METHOD	OPERATION	TRANSPORTATION	INSPECTION	DELAY	STORAGE	DISTANCE IN FEET	QUANTITY	TIME	ANALYSIS WHY?	NOTES	ANALYSIS CHANGE
1 Sick list typed	○	⇨	□	D	▽			40			
2 Binnacle list typed	○	⇨	□	D	▽			15			
3 Lists carried to Adm. Officer's incoming basket	○	⇨	□	D	▽	14					
4 Wait in basket	○	⇨	□	D	▽			5			
5 Reviewed and initialed by Administrative Officer	○	⇨	□	D	▽			10			
6 Carried to Senior Medical Officer's incoming basket	○	⇨	□	D	▽	140					
7 Wait in basket	○	⇨	□	D	▽			5			
8 Reviewed and signed by Senior Medical Officer	○	⇨	□	D	▽			5			
9 Wait in outgoing basket	○	⇨	□	D	▽			5			
10 Carried to File Clerk's desk in Record Office	○	⇨	□	D	▽	150				By Messenger	
11 Information copy #1 pulled	○	⇨	□	D	▽			1		By Messenger	
12 Information copy carried to Central Files	○	⇨	□	D	▽	20				By File Clerk	
13 Information copy stored in Central Files	○	⇨	□	D	▽					By File Clerk	
14 Original and remaining copies carried to Guard	○	⇨	□	D	▽	820		5		By Messenger	
15 Mail Office for distribution	○	⇨	□	D	▽						
16											

PROPOSED METHOD 14 STEPS

146.24

Figure 3-5.—Single column flow process chart—existing and recommended.

performed, the movement used in obtaining the material preceding the operation and putting it down after the operation is considered part of operation. Examples of transportation:

- Move material by carrying (messenger)
- Move material by truck
- Persons moving between locations

INSPECTION

Inspection occurs when an item or items are checked, verified, reviewed, or examined for quality or quantity and not changed. Examples of inspection:

- Checking for information
- Examining for quality and quantity
- Reviewing for accuracy

DELAY

A delay occurs when conditions do not permit or require immediate performance of the next planned action. Examples of delay:

- Material waiting in "in" basket
- Waiting for signature
- Person waiting in line

STORAGE

Storage occurs when something remains in one place, not being worked on in a regular process, awaiting further action at a later date, permanent storage, or disposal. Examples of storage:

- Suspense copy in file
- Material in warehouse
- Filed for permanent record

SINGLE-COLUMN FLOW PROCESS CHART

The type of chart shown in figure 3-5 is described as a single-column flow process chart. It is designed for describing in words and with the use of the flow process symbols the various steps in an operation. It has columns for making notes as the flow is analyzed. This chart helps to point up the frequency and length of delays and to indicate unnecessary steps and other weak spots in the procedure.

FLOW DIAGRAM

A flow diagram, figure 3-6, shows the flow of a piece of work to and from the various offices and individuals who work on it. It emphasizes distances the work travels and indicates any backtracking from one office to another. It supplements the single-column flow process chart. Figure 3-6 also shows the proposed revision of the flow diagram.

MULTICOLUMN FLOW PROCESS CHART

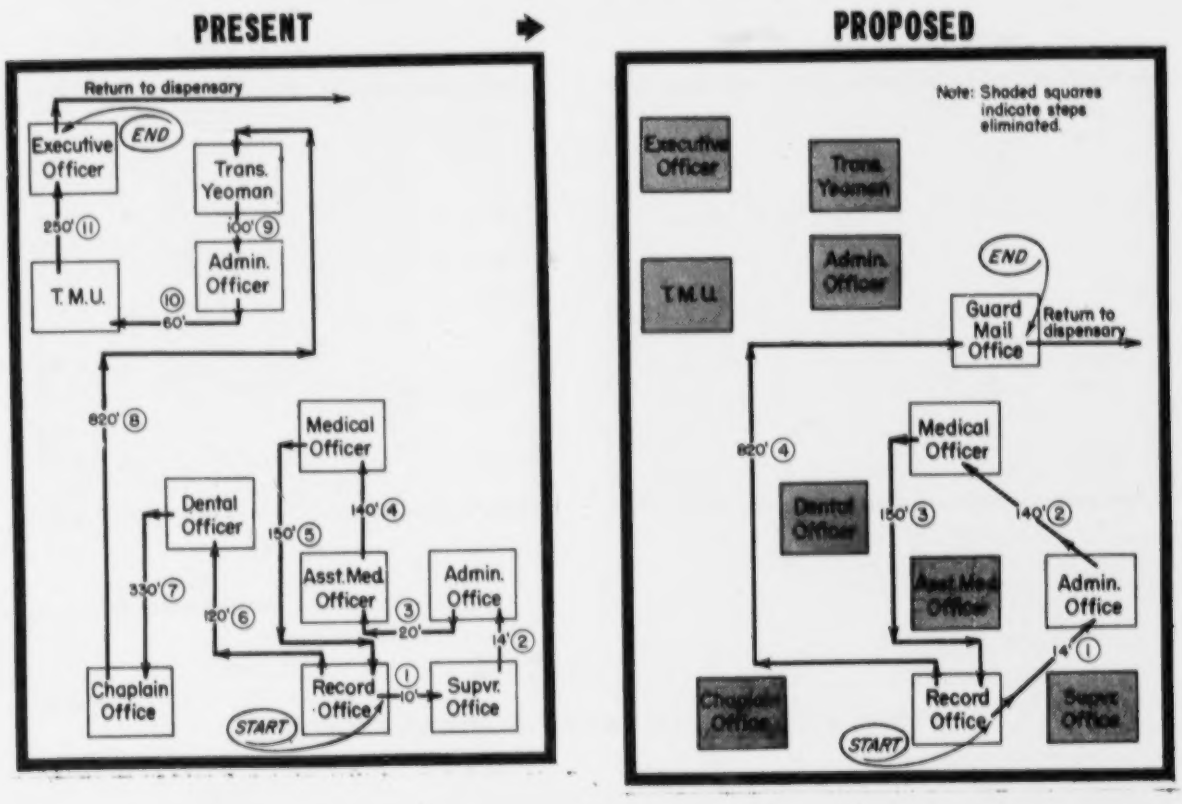
For a complicated operation or a group of related operations, the multicolumn flow process chart can be used. For instance, the one in figure 3-7 shows the operations performed in processing transient personnel through a naval station. The man's service records, his health record, and his pay record, are being processed simultaneously. This type of chart combines use of the symbols with some of the pictorial effect of the flow diagram.

INFORMATION RECORDED

To be complete, a flow process chart should contain the following information: what is done; where and why something is stored; what is carried and by whom; where and why delay occurs.

ANALYSIS

When a chart has been made, it should be examined for such weak spots as poor sequence of steps, backtracking, overlapping, and duplication of work. The analyst should look for steps that can be combined and for those that can be eliminated. By grouping certain operations, transportation and delays can often be eliminated. Examination of the chart should also include such questions as whether a step is being performed at the most suitable point in the entire process and whether the person doing the work is the best one to do it.



52.10

Figure 3-6.—Flow diagram—existing and proposed.

APPLICATION

When the chart has been analyzed, a new one of the same type should be prepared, incorporating the recommendations for improvement that have been developed by the study. (See fig. 3-7.)

MOTION ANALYSIS

The types of analysis described above are all concerned with distribution and flow of work among the several individuals of an organization. Motion analysis deals with how an individual performs his tasks. It seeks to learn whether he is doing his work with minimum fatigue, loss of time, and waste of effort. Improvements are effected by rearrangement of materials and work area and by proper design and use of tools and equipment.

Motion analysis is particularly applicable to repetitive mechanical or clerical operations. Examples are loading shells, some planned maintenance, work in an assembly line, or processing enlisted records at a naval station.

ESTABLISHING WORK AREA

A rule of thumb for establishing the maximum efficient work area for an individual in either a standing or a sitting position is to make a circular forward sweep with each arm extended from the shoulder. The outer boundaries of the two overlapping areas (see fig. 3-8) circumscribe the maximum area in which the hands can work without moving the body.

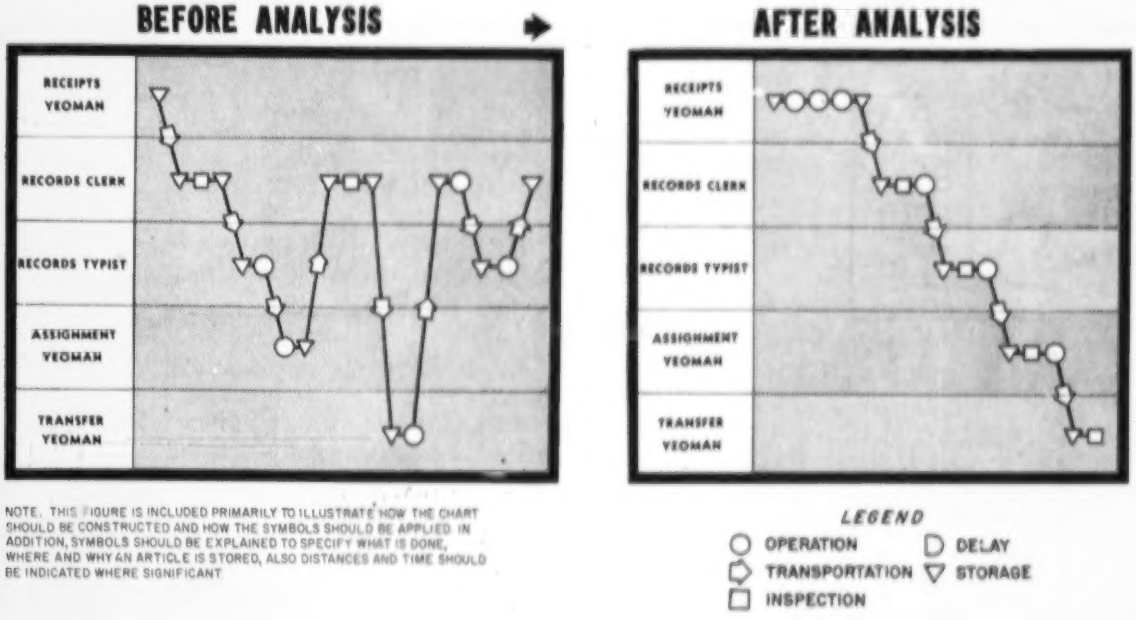

BEFORE ANALYSIS
AFTER ANALYSIS
RECEIPTS YEOMAN
RECORDS CLERK
RECORDS TYPIST
ASSIGNMENT YEOMAN
TRANSFER YEOMAN
NOTE. THIS FIGURE IS INCLUDED PRIMARILY TO ILLUSTRATE HOW THE CHART SHOULD BE CONSTRUCTED AND HOW THE SYMBOLS SHOULD BE APPLIED. IN ADDITION, SYMBOLS SHOULD BE EXPLAINED TO SPECIFY WHAT IS DONE, WHERE AND WHY AN ARTICLE IS STORED, ALSO DISTANCES AND TIME SHOULD BE INDICATED WHERE SIGNIFICANT.
LEGEND
OPERATION
DELAY
TRANSPORTATION
STORAGE
INSPECTION
146.25

Figure 3-7.–Multicolumn flow process chart–existing and proposed.

The normal efficient work area is established by sweeping each forearm in an arc with the upper arm relaxed and the elbow held close to the body. These two overlapping arcs comprise the area in which two-handed work can be done with a minimum of effort and eye travel.

PRINCIPLES OF MOTION ECONOMY

The primary goal of motion analysis is economy of motion. The following are basic principles which should be kept in mind by the analyst:

- If the two hands are working simultaneously, they should begin and complete their motions at the same time.
- The two hands should not be idle at the same time except during rest periods.
- Simultaneous arm motions should go in opposite and symmetrical directions.
- Motions should be as simple as possible (finger or hand motions should replace arm or body motions wherever possible).
- The number of motions should be reduced to a minimum.
- Continuous curved and rhythmic motions are preferable to straight-line motions requiring sudden changes of direction.

GATHERING MOTION ANALYSIS DATA

The simplest way of gathering data for motion analysis is for the analyst to watch the man at work–or for the worker to note and analyze his own motions. For many types of work this is effective. The worker himself, if he is of an analytical turn of mind, can be quite helpful because he has the advantage of being able to feel whether his motions are tiring or easy, jerky or rhythmic, whether or not the distance he is reaching is right for comfort and speed.

Some motions can be analyzed best by photographing them with a motion-picture camera, but the greater expense of this method must be weighed against its effectiveness.

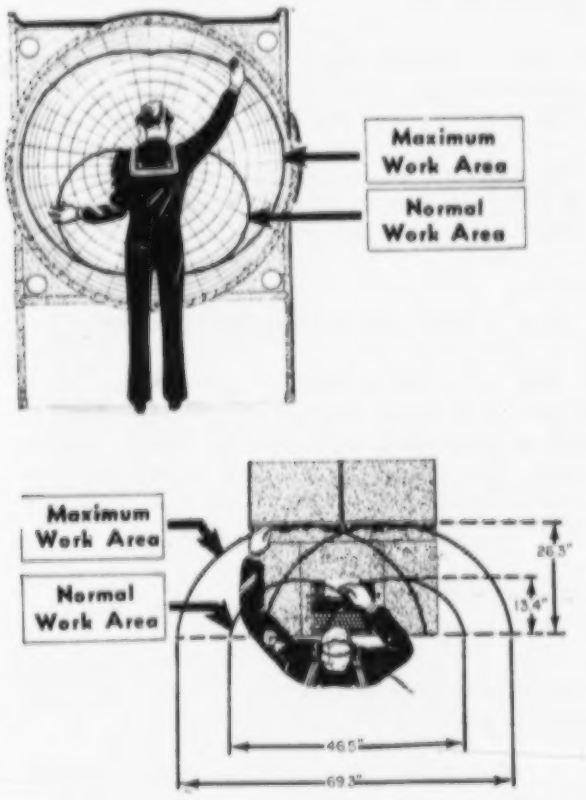


Figure 3-8.—Efficient work areas.

ANALYSIS

Once the analyst has established what motions are being made, questions like the following will help him determine whether he can improve them:

- Does the job involve repetition of motions and considerable volume of work? If so, the motions often repeated should be simplified as much as possible, limited within a small area, and standardized so that the worker develops a rhythm of operation.
- Does the worker seem to be continually stretching, straining, rising, sitting, and walking? These movements are tiring and waste time.
- How can tools, materials, and equipment be rearranged to shorten and simplify motions?
- Can laborsaving equipment or devices be used?
- How much would a change cost and how long would it require?
- Do the advantages of the change justify the cost?

APPLICATION

When study of present operations indicates need for improvement, the following kinds of changes should be tried:

- Locate material and equipment within the normal work area or as near to it as possible.
- Place tools and equipment according to efficient sequence of motions and according to frequency of use, thus reducing operations of searching, finding, and selecting.
- Pre-position tools and materials to reduce transportation of both.
- Slide rather than carry objects when possible.
- Use gravity whenever practicable to assist in transportation.
- Study hesitation and brief breaks in motion sequence for possible elimination.
- Consider whether the feet or other parts of the body can carry on part of the operation, freeing the hands for more efficient performances of the part they must do.

LAYOUT ANALYSIS

Study of the layout of a working area can provide useful information for improving the work of individuals, distribution of the workload, and flow of work from one person to another. Its purpose is to determine what space is needed for the operations to be performed and how the available space may be used most effectively. Besides shortening and simplifying motions, it should seek to produce working conditions that are as comfortable and personally satisfactory to the workers as consistent with efficient and economical operation.

LAYOUT CHART

The layout chart is the principal tool of this type of analysis. It consists of a floor plan of the

work space, usually drawn to a scale of 1/4 inch to 1 foot. All doors, windows, stanchions, electrical outlets, and the like—all features that restrict usable space—should be indicated. Then, items of office furniture are drawn or laid on, using templates made to scale. When the existing layout has been reproduced, the flow of work should be indicated if applicable.

ANALYSIS

The chart is now ready for study in the light of general principles of good layout and specific needs of the situation. The following general principles should be kept in mind:

- Office space allocation should be consistent with working conditions. Suggested office space allowances are as follows:

Area	Square feet per person	
	Minimum	Maximum
Total office space	65	100
Office, clerical, and stenographic workers ...	45	90
Office, department, and division heads	80	225

Desk Placement.—When placing desks in an office, observe the following principles:

- It is generally best to face all desks in the same direction.
- It is best to place each desk adjacent to an aisle or as close to an aisle as possible.
- Aisles between rows of desks or between desks and bulkheads should be at least 3 feet wide; main traffic aisles should be at least 5 feet wide.
- Three feet should be allowed between desks placed in the same direction.
- Five to seven feet should be allowed between desks and filing cabinets. Ample space should be allowed between filing cabinets placed opposite each other.
- Desks should not face the windows. They should be placed to take best advantage of available light and to prevent glare.

APPLICATION

After experimenting with various possible rearrangements, the best one should be selected. This probably will not be the ideal arrangement but will represent some compromises. When it has been chosen, a new chart should be made showing the recommended arrangement. See figure 3-9 for "before" and "after" charts.

REPORTS AND RECOMMENDATIONS

The fact that changes are recommended as a result of a work simplification study doesn't always mean that these changes will or can be made immediately. There are several reasons why a change that many regard as an improvement may be slow in being adopted.

OBJECTIONS OF PERSONNEL

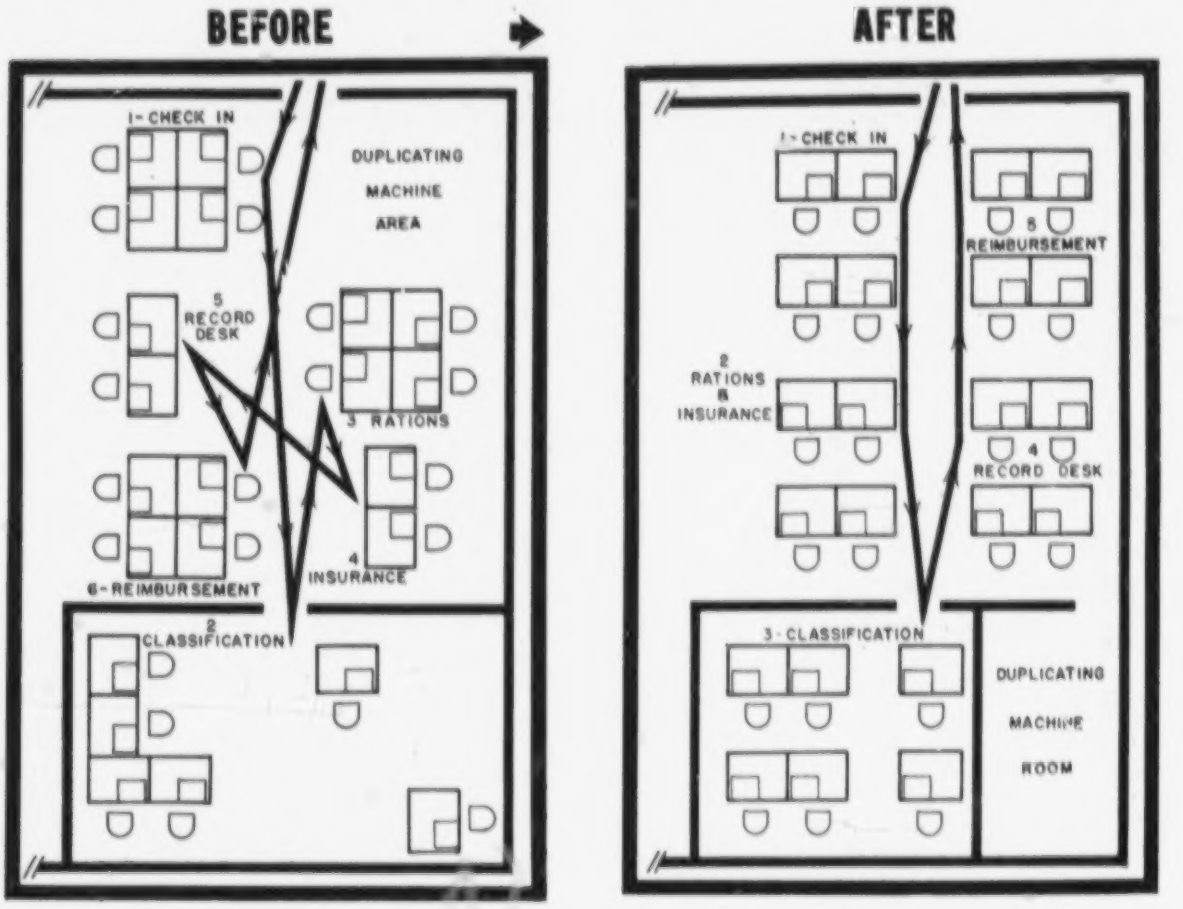
Any change will draw objections from a certain number of persons. There are two general types of reasons for this:

1. RESENTMENT OF CRITICISM.—Many persons regard a recommended change as a criticism of the way they have been doing their work and therefore resent it. Much of this type of objection can be avoided if those who will be affected by the change can participate in some degree in the analysis so that the whole enterprise becomes a group activity. If this is not possible, at least a clear explanation should be made regarding reasons for the change. Emphasis should be on future advantages rather than on criticism of old methods.

2. RESISTANCE TO CHANGE.—Most of us have a natural antipathy to changing established work habits. If advantages of the new method are clearly explained, this resistance lessens considerably.

CONSIDERING EFFECTS OF CHANGE

Before making any changes it is well to consider carefully all likely effects, for sometimes unforeseen effects may cancel out the benefical aspects of the change.



52.11

Figure 3-9.—Layout analysis—existing and proposed.

- Layout should provide for maintenance of proper security precautions.

- Files, supply cabinets, and records should be conveniently accessible to those who use them.

- Personnel using the same equipment should be grouped together: noisy machines should be grouped to minimize interference with other work.

- Adequate heat, light, and ventilation should be provided.

WORK SIMPLIFICATION IMPROVEMENT REPORT

A work simplification improvement report is the analyst's final report of a work simplification study. This report should present the following information:

- Who made the study and when.
- Function or procedure analyzed.
- Types of analysis conducted.
- Description of procedures found.
- Changes and improvements recommended.
- Applicability of improvements to the Navy in general.

- Estimated gains in man-hours, space, personnel, material, equipment, quality, service, or other aspects.

Actions taken on the recommendations. Standard form, NavPers 598, may be used for this report. Whether this form or some other form is used for presenting the report, the categories of information just listed should be included. Your reference in study of this chapter is; Work Simplification for Naval Units, NavPers 18359A.

CHAPTER 4

DRAFTING CORRESPONDENCE

INTRODUCTION

As a Yeoman you need skill in correspondence since many of the YN billets where you will be assigned require you to compose letters from brief notes or even from oral instructions. In preparing long letters, you are expected to develop the ability to prepare a first draft which will require only minor changes before it is ready for smooth typing. Short, routine letters should be mastered to the point where they rarely need any change before signature. These are qualifications for Yeoman First.

In qualifying for Chief, you are expected to increase your skill in letter drafting. You should also be able to prepare formal social correspondence, such as invitations to official social functions, and replies to such invitations.

You are well acquainted with the format of the naval letter, and that of the business form letters. You also know the paragraph content of Navy directives and other rules that apply to this particular type of official letter. Punctuation, spelling, and abbreviation are subjects you have studied in preparing for YN 3&2. You also should know enough about grammar and good English usage to avoid the most obvious types of errors.

This chapter is designed to give you some basic rules of good style in preparing the body of a letter, help you to avoid some common pitfalls in the use of language, and provide practical suggestions for improving your own writing style. The latter part of the chapter covers formal social notes.

To refresh your memory and assist you in reviewing, appendix I contains the most commonly used grammatical terms, with definitions and examples. If you feel the need for further study, ask the educational services officer for a grammar textbook.

PLANNING THE LETTER

You will produce a more effective letter if you give some time to planning before you begin to write. A plan of some kind is necessary to ensure that you have included everything you intended and that you have set things down in a clear and orderly arrangement. Whether you outline the letter completely, make brief notes, or carry your plan in mind will depend upon the length of the letter and your own methods of working. Thought should be given to the classification of your letter at this point.

PURPOSE OF THE LETTER

Planning begins with a clear knowledge of purpose. Your first step is to be sure you understand exactly what the letter is intended to accomplish. Preparing a statement of the subject to be covered will help in clarifying the purpose and will give you guidelines about what must be included.

A letter may deal with more than one subject, but usually this is not advisable unless the subjects are very closely related. A reply to one subject may be prepared in hours, whereas days or weeks may elapse before an appropriate reply can be made on another subject. If two questions are asked in the original letter, confusion is likely to result. Furthermore, one department of the recipient command may prepare the reply on one subject and a different department on another. So, even though you

have to write several letters to the same command on the same day, it is better to do so than to combine unrelated matters. The *Department of the Navy Correspondence Manual* lists seven types of letters that are generally used:

- Request for permission or authorization to act.
- Request that action be taken.
- Request for information.
- Letter supplying information or instructions not requested.
- Reply to a request for permission or authorization to act.
- Reply to a request that action be taken.
- Reply to a request for information.

While not every letter you draft will fall into one of these categories, the categories will serve as examples of how to analyze and plan a letter. For instance, when the purpose is to request something, you must be certain that the request is definitely and clearly stated. Usually there should also be a statement as to why the request is being made and any additional explanation or suggestions that are required or appropriate. When a letter is written in reply to one received, the receipt is sometimes acknowledged, not only by citing the letter as a reference but in the body of the reply. If a request has been made, the most important thing in the reply is a clear statement as to whether the request is granted or denied. Further explanation, limitations, or suggestions should be included as appropriate. Long letters frequently need a summarizing statement as the final paragraph.

ORGANIZING THE LETTER

The order in which the various parts of the letter are arranged should be planned with the reader in mind. A letter of request, for instance, may begin with the request, followed by an explanation of why the request is made. Sometimes, however, it may be clearer to the reader if the letter begins with a discussion of the situation and leads up to the request. A letter of reply frequently begins by acknowledging the letter received. The important thing is for you to:

- see the body of the letter as a succession of units,
- arrange these units in the most satisfactory manner,
- complete each unit before moving to the next, and
- maintain continuity by providing transition from one unit to another.

In letters of average length, each important unit may be one paragraph, although there is no rule about this. For example, an explanation of reasons why something should be done may take more than one paragraph. Some letters, on the other hand, may be so simple that one paragraph is enough for the entire body. Just as each letter has a subject, so each paragraph covers a topic or subtopic. Each paragraph has its own order structure, so that one idea leads naturally to another and one paragraph leads to another.

CHOICE OF WORDS

Good letter writing is clear, concise, direct, courteous, and suited to its purpose, but to say that and no more is like being against sin. The problem is how to achieve these qualities. You have already made some progress toward clarity when you produced an orderly plan for your letter. The rest will depend on the language you choose for carrying out your plan.

Choosing the right words is a necessity for good style. The best words are those that are precise in meaning, suited to the intended reader, and as short, simple, and direct as possible.

EXACTNESS OF MEANING

Words may miss the mark of exactness in several ways. One of the most obvious is choice of the wrong word from two that sound or look alike. How often have you read, "He was appraised of the situation . . . "? It probably would have been better to have said, "He was told of the situation." The writer should have known that to tell is to apprise, and to appraise means to evaluate.

Can you always choose rightly between the following: advice, advise; affect, effect; eminent, imminent; counsel, council, consul; adapt,

adopt; principal, principle? You may think of some of these as spelling problems, but they also involve knowledge of meanings. If you have trouble with any of them, you should consult the dictionary. As you become better acquainted with meanings you will find ways of remembering them, like the following for principal and principle:

PRINCIPAL means MAIN or the MAIN ONE
The principal of the school
Payment of principal and interest
Principal and alternate appointments to the Naval Academy
The principals in the play cast have the main roles
His principal objections to the plan are

PRINCIPLE means RULE or theory
He lives according to his principles
The principles of democracy
He understands it in principle

In other words, whenever you can substitute "mAin," you spell it "principAL." If you can substitute "ruLE," you spell it "principLE." This kind of device for remembering is sometimes of help, but beware of establishing a system too hastily, for it may steer you wrong.

Among words that are related or similar in meaning, the discriminating writer usually will find that one suits his purpose better than another. Take OBTAIN, PROCURE, and SECURE, for example. OBTAIN is the more general term. PROCURE has, in the Navy, a specific connotation of obtaining material through official channels and by approved supply procedures, usually for someone else, as "The supply officer procured the boiler parts." SECURE is often wrongly used instead of OBTAIN or PROCURE. Its specialized Navy use, meaning to fasten something down or make it firm, is the correct clue to its general meaning. When you say "He secured it," meaning he obtained it, you are implying that he got it against competition and then held on to it firmly or pinned it down in some fashion. If that isn't what you mean, better use OBTAINED.

Although you might say that a Navy man's BILLET is his JOB, you cannot correctly use the word BILLET in every instance where you would use JOB. While FEWER and LESS seem much alike in meaning, FEWER describes number, and LESS describes quantity: "fewer AWOL cases"; "a ship drawing less water." NOTORIETY is a synonym for FAME, but it usually connotes an unpleasant kind of fame. Someone has said: "Fame is a rose; notoriety an onion."

SUITABILITY TO READER

In choosing words, always keep in mind the person for whom the letter is intended. For example, when preparing a letter to a command senior to yours, "Your attention is invited" is used rather than "Attention is directed"; and "it will be appreciated if . . . can be maintained" is used instead of "shall be maintained."

A directive addressed to all hands is written in language all can understand. This does not necessarily mean that only one-syllable words are used, but it does mean that the words chosen are meaningful to all hands. How would YOU like to read a notice that began like this?

"Having cognizance of our rigid operating schedule, the commanding officer, in an attempt to ameliorate morale, is endeavoring to ascertain the proclivities of those personnel who are encountering difficulty . . . "

Ridiculous? Certainly, but not too much worse than some directives that have been published. What the captain was probably trying to find out was whether enough men were interested in a hobby shop to justify setting one up.

AVOID HIGH-SOUNDING LANGUAGE

Avoid using a long word merely for the sake of sounding more important or more dignified. Such an attempt usually results only in sounding pretentious, stuffy, and hard to understand. Compare the following, for example:

It is necessary for the officer assigned as head of the department to devote considerable time to the indoctrination of an assistant in the proper estimation of the needs of the department in the way of supplies.

A department head should take time to teach an assistant how to estimate the quantities and kinds of supplies needed.

The two sentences mean essentially the same thing, but the first has its meaning wrapped up in excess words and unnecessarily long ones. The second, in shorter and simpler language, is not only easier to understand and more direct, it is also more interesting.

Column 1 below lists some words and phrases greatly overused and generally to be avoided. Column 2 suggests substitutes that are shorter and, in most cases, more effective.

accompanied by	with
accomplished	done, did
afford an opportunity	allow
approximately	about
due to the fact that	because
effectuate	bring about
endeavor to ascertain	try to find out
equivalent	equal
in compliance with the request	as requested
inadvertance	error
inasmuch as	since
modification	change
notwithstanding the fact that	although (even though)
optimum	best
over the signature of	signed by
peruse	read
participate	take part
predecease	die before
is predicated on the assumption	assumes
in process of preparation	being prepared
subsequent to	after
terminated	ended
transpired	happened
utilization	use

While short, simple words are generally best, not everything can be said in words of one syllable. Sometimes the exactly right word to express what you mean may be a long word. In that case it would be a mistake to substitute a less accurate term just for the sake of using a shorter word. For instance, even if you could think of shorter words to replace the term "electronic data processing," it is doubtful that they would convey the same meaning.

Using technical language always requires consideration of the reader. If he himself is a specialist in the technical field under discussion, technical terms may be used freely, but for anyone else, the terms should be carefully chosen, and some may need to be defined. This is true even for well educated readers, since no one can be familiar with all kinds of technical language. For instance, a medical officer would probably use the term SUTURES to another person in the medical profession, but to the patient or the family he might say STITCHES.

The fault in some writing is not only that long words have been used where short ones would do, but also that more words are used than necessary. Compare the two sentences below.

General education makes additions to your knowledge, makes you able to get the answers to your problems more easily, gives you a better chance for success, gives greater force to your ideas, and makes you more on your toes.

General education adds to your knowledge, helps you solve your problems, increases your chances for success, and makes you more forceful and alert.

In the second version, slightly longer words are sometimes substituted for awkward lengthy combinations of short words—"increases" instead of "gives you a better"; "alert" for "on your toes."

SENTENCE STRUCTURE

To be effective, sentences should be grammatically correct. The various types of sentences should be well chosen and effectively combined, with an eye to clarity, emphasis, and interest.

COMMON FAULTS OF SENTENCE STRUCTURE

The faults we will discuss are common enough that it will be worth your while to review them. If you feel rusty on your grammar, this is the point where you should refer to appendix I.

Sentence Fragments

A frequent fault in grammar among inexperienced writers is the incomplete sentence. This is a sentence that does not contain a subject and a predicate or verb. It is possible, as you will

see in appendix I, for the subject to be understood rather than stated, but you should be sure in that case that the subject is clearly implied. Here are examples of incomplete sentences:

A tall, thin man with owlish spectacles and a bald head.
(The verb is omitted.)

Ran into the road.
(Here the subject is omitted. Who ran?)

Just as the searchlight swept across the harbor.
(This tells when something happened, but the whole main statement is missing.)

Bailey, the new striker, looking as if he would burst with pride.
(There are modifiers here for the subject "Bailey," but no main statement about him.)

An incomplete sentence often results from failure to recognize that a modifying phrase or clause is really part of the preceding sentence. For instance, use a comma instead of the first period in the example below. The result is a complete sentence instead of a sentence followed by a fragment.

The ship was making good headway. Steaming through the Caribbean.

Don't be misled by the fact that some literary men of high reputation deliberately turn out incomplete sentences at times. That is like what Emily Post once said about the rules of etiquette: "Well bred persons sometimes break some of the rules, but to break them and get away with it, you first have to know them."

It is true that fractured sentences may occasionally produce the exact effect you want, but be sure you know why you are using them and that they are suitable to what you are writing. For example, fragments like the following may have a place in some kinds of writing: "Bigger and better airplanes!" "Half an hour later?" "No leave for anyone." In official correspondence, however, this kind of structure should rarely be used.

Beginning a sentence with "but" or another connective is regarded by many as incorrect, largely because the connective standing first seems to indicate a fragment. This is one rule that may OCCASIONALLY be ignored if by doing so you achieve a more effective statement. But do not do it often, or you will lose the effect.

Run-on Sentences

Another common error in sentence structure is the punctuation of two or more sentences as if they were one. Usually this occurs with sentences that are closely related in thought. For instance:

RUN-ON–We wanted to go swimming, the beach was excellent.
CORRECT–We wanted to go swimming. The beach was excellent.
RUN-ON–Shipping won't be much of a problem, receiving is something else again, you will have plenty of that.
CORRECT–Shipping won't be much of a problem. Receiving is something else again. You will have plenty of that.

Often a run-on sentence is the result not only of faulty punctuation but also of failure to think the construction through and recognize the relationships of the various ideas.

RUN-ON–In the Navy a man relies on his shipmates, they stand by him and help him out of his difficulties.

BETTER RELATIONSHIP–In the Navy, a man relies on his shipmates to stand by him and to help him out of his difficulties.

RUN-ON–Detailed decontamination is a lengthy process, it is usually carried on at a home base or rear area.

BETTER RELATIONSHIP–Detailed decontamination is a lengthy process, usually carried on at a home base or rear area.

RUN-ON–An emergency tourniquet can be made from something like a neckerchief, it is wrapped once around the limb and tied in an overhand knot.

BETTER RELATIONSHIP–To apply an emergency tourniquet made from something like a neckerchief, wrap the material once around the limb and tie an overhand knot.

Dangling Modifiers

Misplacement of a modifier can confuse the meaning of a sentence, often with ludicrous results. Modifiers should be positioned close to the words they modify, because otherwise, they may seem to modify something else. Haste, carelessness, or lack of understanding of grammar may cause a writer to use a construction without thinking exactly what it is supposed to modify. This kind of error is fairly common in using participles and other adjectives or with adverbial modifiers, as in the examples below.

DANGLING PARTICIPLE–Returning to the ship, the package was found to be on his bunk.

CORRECT–Returning to the ship, he found the package on his bunk, (it was he that returned to the ship, not the package.)

DANGLING PARTICIPLE–Entering the CO_2 flooded compartment, the gas overcame him.

CORRECT–Entering the CO_2 flooded compartment, he was overcome by the gas.

DANGLING PARTICIPLE–Running rapidly out from the windlass, he caught his foot in the anchor chain.

CORRECT–He caught his foot in the anchor chain as it ran rapidly out from the windlass.

MISPLACED PREPOSITIONAL PHRASE–At the age of two his father died.

CORRECT–He was two years old when his father died.

MISPLACED PREPOSITIONAL PHRASE–For Sale: practically new sports car, by man transferred to Antarctic, with white sidewall tires.

CORRECT–For Sale: practically new sports car with white sidewall tires. Owner transferred.

MISPLACED PREPOSITIONAL PHRASE–Baker saw the driver of the car that had hit him in the theater.

CORRECT–In the theater, Baker saw the driver of the car that had hit him.

MISPLACED RELATIVE CLAUSE–The Chief Commissaryman discovered that old baking powder had been used in the biscuits, which caused all the trouble.

CORRECT–The Chief Commissaryman discovered that the trouble with the biscuits was the use of old baking powder.

A frequently misplaced word is "only." Here is an example to show how, by moving this one word around in a sentence, you can change the meaning entirely:

Only he could read the strange dialect. (Nobody else could.)

He could only read the strange dialect. (He could not write or speak it.)

He could read only the strange dialect. (He could read nothing else.)

He could read the only strange dialect. (Only one dialect was strange, and he could read it.)

Misplaced Correlative Conjunctions

Correlative conjunctions, (such as NOT ONLY–BUT ALSO and EITHER–OR) are often misplaced. Their correct position is just ahead of the words or groups of words they connect.

MISPLACED–The Navy letter form NOT ONLY omits the salutation BUT ALSO the complimentary close. (The words connected are "salutation" and "complimentary close".)

CORRECT–The Navy letter form omits NOT ONLY the salutation BUT ALSO the complimentary close.

MISPLACED–EITHER secure lines to the arresting hook OR the hoisting sling. (As this sentence stands, the words that should be connected are "arresting hook" and "hoisting sling." The sentence will be better, however, if two complete prepositional phrases are used instead.)

CORRECT–Secure lines EITHER to the arresting hook OR to the hoisting sling.

Other frequently used correlative conjunctions are "both. . .and," "neither. . .nor," and "whether. . .or."

Split Infinitives

Splitting an infinitive means placing one or more modifiers between the "to" and the verb

form. You will hear people say that a split infinitive is no longer regarded as incorrect, but that is only a partial truth. Some writers consider that splitting an infinitive is desirable at times for the sake of emphasis: for example, "To DELIBERATELY disobey an order is a serious offense." Even this sentence will grate on some ears, and generally, it is better to keep the adverb outside of the infinitive construction. This is especially true when you have more than one adverb or a phrase.

AWKWARD SPLIT–The only way to win against a fire is to REGULARLY and THOROUGHLY practice the rules of fire prevention.

BETTER–The only way to win against a fire is to practice rules of fire prevention REGULARLY and THOROUGHLY.

Some may raise an objection to placing modifiers at the end of a sentence, as in the corrected example above, but there is really nothing wrong with using this type of sentence occasionally, so long as the meaning is clear. For further discussion of this point, see loose and periodic sentences, later in this chapter.

Errors of Agreement

You probably have no trouble, most of the time, with agreement of verb and subject. You are not tempted to write: "The propellers was damaged." But how about "The propeller and shaft was damaged"? Wrong, of course, but easy to slip into when you are thinking of the two parts of a compound subject as belonging together. It should, of course, read "The propeller and shaft WERE damaged."

In a compound subject with "or" or "nor" as a connective, the verb should agree in number with the LAST noun in the subject.

WRONG–Neither the propellers nor the rudder ARE damaged.

CORRECT–Neither the propellers nor the rudder IS damaged.

When a parenthetical expression beginning with words such as "together with," "with," or "including" comes between the subject and the verb, there is a temptation to make the verb plural as if the subject were compound. For example:

WRONG–One mast, together with a spar running athwartship, ARE used for flags.

CORRECT–One mast, together with a spar running athwartship, IS used for flags.

Disagreement of subject and verb sometimes occurs because, in a complicated sentence, a nearby noun is mistaken for the subject. This is the case in the sentence below, in which the plural nouns "officers" and "commands" seem to have confused the writer. The subject of the sentence, however, is "duty."

INCORRECT–The primary duty of such staff dental officers serving in these commands are very similar to those of a district dental officer.

CORRECT–The primary duty of such staff dental officers serving in these commands is very similar to that of a district dental officer.

- OR -

The primary duties of such staff dental officers serving in these commands are very similar to those of a district dental officer.

Gerund Takes the Possessive

A GERUND is a verbal (verb form) used like a noun. It retains some of its verb qualities, however, such as taking a subject or object, or being modified by adverbs. Only one of these–the subject–differs from what would be used with the same verb if complete. The subject of a gerund is in the possessive case instead of the nominative.

WRONG–Had you heard about <u>him passing the test</u>?

RIGHT–Had you heard about <u>his passing the test</u>?

"Passing" is a gerund with "his" as the subject and "test" as the object. The complete phrase is used here as the object of the preposition "about."

Errors in Noun Clauses

The pronoun that introduces a noun clause is sometimes given the wrong case because of failure to recognize the structure of the sentence. The case of any pronoun is determined by its use in the clause of which it is a part.

WRONG–The award will go to WHOMEVER submits the best entry.
RIGHT–The award will go to WHOEVER submits the best entry.

"Whoever submits the best entry" is a noun clause. The whole clause is used as the object of the preposition "to." "Whoever" is the subject of the clause and therefore nominative.

Another common error results from failure to recognize that the construction "the reason is" should be followed by a noun clause introduced by "that."

WRONG–The reason he was placed on report was BECAUSE he was absent over leave.
RIGHT–The reason he was placed on report was THAT he was absent over leave.

- OR -

He was placed on report BECAUSE he was absent over leave.

EFFECTIVE USE OF SENTENCES

Sentences may be grammatically correct and still not be as effective as possible, in which case we describe the fault as one of style. Style in writing, like style in dress, is a personal thing–a matter of taste and of knowing how to combine. A writer's style may be clear or confusing, concise or wordy, lively or dull. It may be flippant or dignified, or any of several gradations between.

No one can tell you exactly how to achieve a suitable and pleasing style, but there are some general rules which, if understood and applied judiciously, will get you started in the right direction.

As in the case of vocabulary, style should, first of all, suit its purpose. A style that might be quite suitable for a human interest story in the station newspaper might be inappropriate for an official letter.

Another rule, also mentioned in connection with choice of words, is that simplicity is usually best. One of the classic examples of simplicity, Lincoln's Gettysburg Address, can be clearly understood by children in the lower elementary grades yet retains its appeal to the most sophisticated ear.

SENTENCE LENGTH

Sentence length affects style in several ways. Generally, short sentences are simpler and easier to understand than long ones. Usually, too, short sentences are brighter: long sentences, more dignified and–unless the writer is careful–more inclined to dullness. The average length of sentences in any piece of writing should be adjusted to the subject matter, the reader, and the writer's purpose.

Interest and emphasis can often be improved by variation in sentence length. For instance, in a paragraph in which most sentences are of average or more than average length, an occasional short sentence may serve to stress an important point or to break the pace agreeably.

Sentences that are too short are inclined to produce a choppy effect, the sound of which is not particularly pleasing. Sometimes these sentences should be combined into a longer one that will not only sound better but will also be more meaningful because the relation of the several statements to each other has been clarified. Here's an example.

CHOPPY–First the men throw off the gun covers. They do this as soon as they reach their stations. Then they break out ammunition or prepare the equipment for action. They prepare only the equipment to which they are assigned.
IMPROVED–As fast as the men reach their stations they throw off gun covers and break out ammunition, or prepare for action the equipment to which they are assigned.

LOOSE AND PERIODIC SENTENCES

A PERIODIC sentence is one in which you can not place a period before the last word without cutting off a vital part of the sentence.

In other words, the sentence usually ends with the verb or with some other vital word rather than a word, phrase, or clause, that merely adds information. (An inverted sentence could even end with the subject.) A restrictive modifier–one that is necessary to complete the meaning of what has gone before–may stand last, occasionally, in a periodic sentence, but not a nonrestrictive modifier. If the sentence ends with a nonrestrictive word, phrase, or clause, the sentence is called LOOSE.

PERIODIC–Whenever small arms and ammunition not required to be demilitarized under this instruction are offered for public sale, the selling activity will comply with the applicable local laws.

LOOSE–Selling activities will comply with applicable local laws whenever small arms and ammunition not required to be demilitarized under this instruction are offered for public sale.

(In the above example, a periodic sentence has been changed into a loose sentence. Note that in the transformation the emphasis has shifted enough to change the meaning somewhat. The sentence now implies that selling activities need not comply with local laws except under these circumstances.)

PERIODIC–Because of a change in status of this activity, these functions have been reassigned.

Personnel to operate these programs, other than the assigned leaders, may be recruited.

LOOSE–Frequently the morale officer arranges for an entertainment committee, or several small committees, to assist with this program.

Where distance is a factor, the placing of equipment in smaller lockers near where it is used will encourage its use by decreasing the effort required of the user.

Periodic sentences are more deliberately constructed and therefore more formal than loose sentences. The latter are more characteristic of informal conversation. Whether you use one or the other will depend partly on which is more effective in getting across the meaning of the particular sentence. In an official letter or directive, periodic sentences probably should predominate, but there is no need to try to make every sentence periodic. Some loose sentences may be desirable, if they do not distort the meaning.

PARAGRAPH ORGANIZATION

A well written paragraph has UNITY, which means that the ideas it contains are closely related and are arranged to develop a single topic or subtopic of the general subject. In modern official letter writing, the tendency is toward short paragraphs, for the sake of readability. This requires not only that all unnecessary verbiage be pared away but also that the subject matter be very carefully organized and subdivided.

THE TOPIC SENTENCE

A fairly long paragraph is frequently made more effective if introduced by a TOPIC SENTENCE. Such a sentence makes a general statement that is developed in greater detail in the remainder of the paragraph. Below is an example adapted from a Navy publication.

Military officers as a class deal in the arena of international law and international relations more than any governmental group with the exception of State Department personnel. Our commanders on foreign soil do so daily. The Commander in Korea is operating under an international organization, the United Nations, carrying out or enforcing an armistice or truce. If he is unfamiliar with its provisions, its implications, and its legal significance in the international community, he will be hard pressed to fulfill the responsibilities placed upon his shoulders. The commander in Berlin must know the terms of the agreement under which he is garrisoned in Berlin, where the North Atlantic Treaty Organization fits into the scheme of things, how far he can go to stay within the agreement, how far he may permit the East Germans to go before they violate the terms of the agreement, and the legal implications of each of these situations. The commander at Guantanamo Bay, Cuba, must know the terms of the two treaties and the lease

agreement between the U.S. and Cuba which govern our rights to the Naval Base at Guantanamo in order not to give Castro any basis for abrogating these agreements. The commanding officer of any naval activity stationed in a foreign country must be familiar with the agreements under which he is operating; e.g., base rights and Status of Forces Agreements. These are all matters of international law and international relations. It is imperative that the commander understand his position in the international scheme.

A topic sentence need not stand at the beginning of a paragraph; in fact, it is possible to have a well written paragraph with a topic sentence in the middle or at the end. In naval correspondence, the topic sentence in the middle of the paragraph is less likely to be used. If placed at the end, it becomes a summary, a very useful device for pulling the paragraph together and leaving a strong final effect. The summary at the end of a paragraph is not used extensively, however, in naval letters and directives. A summary paragraph for an entire letter is sometimes appropriate.

ORDER OF SENTENCES

A well organized paragraph has its various ideas introduced in an orderly sequence. This sequence may be place order, chronological order, logical order, or order of emphasis. The purpose of all is the same—to lead the reader along the path you wish him to take with a minimum of backtracking or skipping about, and thereby to leave a clearer, stronger impression in his mind.

PLACE ORDER is used for descriptions. The following description is adapted from a report of a shipboard accident, the sort of thing you might have to help prepare if serving as reporter for a board of investigation.

During preparations for the transfer of fuel, seven sections of 2-1/2-inch hose were connected and rigged between a Navy cargo ship and a fuel oil barge. The hose passed through a hold of the ship in which there were several light fixtures of the type designed for use with globes and guards. The globe and guard were missing from one light fixture, so that the light bulb was unprotected. One man was stationed in the hold and another man stood outside at a hatch that opened into it.

Notice that the writer begins with the rigging of the hose between the two ships. Then he takes us inside the hold of the cargo ship and pictures the situation there. Finally, he gives us the positions of the two men involved in the accident.

The next two paragraphs of the report illustrate CHRONOLOGICAL ORDER, which is the order used for narrating events and for explaining steps in a process.

Upon signal to commence the transfer of fuel, a pump was started on the barge, and pressure was applied within the hose. A section of hose in the cargo hold ruptured; the hose whipped with great force, struck, and broke the unprotected light bulb.

Arcing from the filament of the broken bulb ignited combustible vapor and caused a flash fire which, although extinguished within a short time, severely burned both men. The man who was stationed inside the hatch died approximately three weeks later.

Incidentally, note the amount of concrete detail in both the description and the narrative. This is a condensed report. The original probably had much more detail, such as the names and numbers of the ships, the number of the hold, and the names and rates of the men.

Below is another example of chronological order adapted from a Navy directive. In this case, we have the order in which steps are to be performed in a procedure.

A selection board convened by the Chief of Naval Personnel considers the applications of fully qualified NESEP candidates in January and February. Those candidates determined by the board to be best qualified are designated provisionally selected candidates. The names of candidates thus provisionally selected are published by a BuPers Notice 1510 in March. Provisionally selected candidates for NESEP will be further screened after selection, and prior to ordering to the summer preparatory session, by participation in a form of the Scholastic Aptitude Test (SAT) of the College Entrance Examination Boards. This test will be forwarded to each candidate's command for administration, and will determine the candidate's admissibility to a NESEP college or university. Those who fail

to qualify on the SAT will have their status as provisionally selected candidates terminated.

When there are many steps, it is often desirable, in naval correspondence, to present these in tabulated form rather than in a solid paragraph. Usually, then, they are designated by letters or numbers as appropriate.

Because of the modern emphasis on short paragraphs, it is sometimes necessary to quote several paragraphs in order to see how a unit of subject matter is organized. This is the case in the example below, in which ideas are arranged in logical order, leading to a conclusion in the final paragraph.

Let us look at the size of the Navy business management job. You have all, no doubt, thumbed through a mail order catalog and have been impressed with the number of items available. You can buy tools, clothes, toys, drugs, stationery, and all sorts of household appliances and general supplies. Actually the largest catalog carries around 100,000 different articles.

Let us compare this 100,000 with the range of items required by the Navy. In our catalogs we carry some 1,200,000 items—more than 10 times as many as you will find in the largest commercial catalog. The Naval Supply System carries everything from missile parts to brooms, from electronics to potatoes, from uniforms to medicines.

We issue more than 20,000,000 items each year. To meet these demands the Navy alone carries an inventory of around $5 1/2 billion.

In other words, within the total defense supply operations, the Navy portion alone is big business. Measured in terms of dollars, it is twice as large as the entire General Motors industrial complex.

This example demonstrates several things. It shows how facts can be advanced to support a conclusion. In this case, the conclusion that the Navy Supply System is big business is supported by evidence of (1) the range of items carried, (2) the volume of supplies issued, and (3) the size of the inventory. This is also a good example of the use of comparison (Navy Supply compared to a commercial mail order catalog) to help the reader visualize the facts offered. Emphasis is heightened in paragraph 3, by contrast presented in parallel structures. The final paragraph illustrates the summing up and a statement of the conclusion drawn from the evidence.

Time-honored rules of rhetoric have established that for emphasis an item should stand first or last. This has been regarded as true whether one is speaking of the sentence, the paragraph, or the piece of writing as a whole. When we think of ORDER OF EMPHASIS we have this principle in mind. Whether the items placed first and last are remembered longest is open to some question, but certainly, the placing of anything, either at the beginning or at the end, gives it emphasis at the moment. Which of the two positions will give the greater emphasis depends upon the individual situation. Newspapers, for instance, feel that the lead paragraph is the most important, because people want the news quickly and often do not read through to the end of the story. Orators need a strong beginning and a strong ending. The important thing is that the writer should remember that position is a device for gaining emphasis and should consciously use it.

The paragraph below summarizes an account of a night war game. Which statement in the summary is given the greatest emphasis?

Sleepless, yet exhilarated, the Seabees, in convoy, returned to the training center for field stripping and cleaning of weapons and gear. They had demonstrated their traditional "Can Do" spirit in obtaining and improvising equipment. They had encountered and surmounted physical obstacles of terrain and weather. They had tested their theoretical military training in a simulated combat situation. Even under harassment, they had successfully solved their mapping problem. In that afternoon and night, the Seabees had tested and proved their readiness.

TRANSITIONS

Transitions are those elements in a piece of writing that help the reader move from one unit to another. They help not only to preserve continuity but also to clarify the relation of what is coming to what has gone before. They may be words, phrases, sentences, or in a long article, even whole paragraphs. We are mainly interested here in transition words and phrases.

The change that the reader must bridge may be any of several. In a description, there is often

need to indicate change of place by such words as BEHIND, NEARBY, A FEW YARDS AWAY, or ON THE DECK ABOVE. Change in time may be bridged by LATER THAT EVENING, FORMERLY, THEN, MEANWHILE, AT THE END OF THE MONTH, or another transition to show the relation in time of what is to follow to what has preceded. Other types of transitions include the following: HOWEVER, ON THE CONTRARY, IN ADDITION, NEXT, ACCORDINGLY, IN EFFECT, IN CONCLUSION, FINALLY, and THEREFORE.

Two common faults in the use of transitions are OVERUSE OF CERTAIN WORDS and UNNECESSARY TRANSITIONS.

Three very much overworked transitions are SO, THEREFORE, and THEN. When one of these is used too frequently, the writer has usually failed to think his material through carefully to consider the real relationships of his ideas, but instead has merely strung them together. For example:

WEAK–Two helpers failed to wear their protective goggles during welding operations, and so their eyes were burned by actinic rays.

STRENGTHENED–Two helpers had their eyes burned by actinic rays because they failed to wear their protective goggles during welding operations.

Use of transitions such as FURTHERMORE, ON THE OTHER HAND, and MOREOVER, when they really are not needed is one of the faults leading to a pretentious, ponderous, and sleep-inducing style. If one of these transitions can be eliminated without loss to the reader's understanding, strike it out.

SOME PRACTICAL SUGGESTIONS

We have been talking about general principles of good style, but here you are with a few penciled notes that must somehow be turned into an acceptable letter. What do you do? How do you get started?

The first thing, of course, is to pull from the files the related correspondence. Also, look up any official directives or other references you will need. Do the necessary research and plan the structure of the letter. Then start writing.

FIRST DRAFT

Do not worry too much at this point about spelling, punctuation, or other aspects of a finished style. Get something down. Try to express your ideas as clearly and in as effective order as you can. If the absolutely right word does not come to you, put down the best one you can think of, and mark the spot to improve later if possible. Get that first draft written somehow. You can go back later and smooth it out.

As you become more experienced, you will develop your own individual work habits, but as a beginner, the most important thing is to get your train of thought and your flow of language in motion, and keep going with a minimum of interruption.

LET IT COOL

When you are given a writing job to do, find out the deadline or target date. The reason for this is not so that you can barely squeak by, but to budget your time effectively. Unless the letter is very brief and routine, a certain amount of time must be allotted for preparatory work, a certain amount for the rough draft, and a certain amount for polishing. Apportion the time for each according to the total amount of time you have.

If possible, allow a little time to elapse after you have finished the first draft of your letter before you start going over it again. If you can put the letter aside and work at something else for a time, you will be more objective when you return to it, and will see ways of improving it that would not have occurred to you earlier.

When you first begin to re-read your letter, go through from start to finish, stopping only for the briefest of notes at points you think could be improved. If you try to rewrite as you go along, you will often find that the changes you have made do not fit with what comes next.

CRITICIZE

Read with a critical eye to determine: (1) that what you have written is correct; (2) that it is

clear; and (3) that it is said as effectively as possible.

Obviously, if you have any doubt about the first, return to your references and find out. Do not leave any matter of accuracy undetermined.

The improved objectivity that results from letting your draft cool will help you in determining whether or not it is clear. Do not be too crushed if you find that you can not make sense out of one of your own sentences. It happens occasionally to even the best writers. Just be glad you found it. If you have any doubt whether a passage will be clear to the reader, try it out on someone who has not been thinking about the subject as you have. If your "guinea pig" has any difficulty with it, change it even if that means taking out your favorite sentence.

In behalf of effectiveness, go through the letter looking for useless words. Cut out the lazy and meaningless words; cut down the big ones. Take out the intensives (extremely, undoubtedly, very much) and the overworked introductory phrases (it is to be noted, it is a well known fact that, we call your attention to the fact that). We used the word "overworked" advisedly here, because the use of these phrases is not always unnecessary. Sometimes you need one of them, but if not, delete.

Look for overuse of certain words and replace them with substitutes. Likewise, cull out unnecessary repetition of ideas. Some repetition of both words and ideas is useful for emphasis, but a great deal is merely the result of carelessness. Unless you repeated deliberately and for a purpose, better change it.

ACCEPT CRITICISM

By the time you reach this stage you can be pardoned if you feel a certain parental pride in this brain child of yours. This is where you run into danger. Do not permit yourself to become fond of the way you have said something. The minute you do you become loath to change your wording, and this means trouble in two ways: first, most writing can be improved, and therefore you should avoid closing the door to criticism, either your own criticism or that of another reader; second, and this is basic to most military writing, you are not going to sign this letter. If it has to go through several reviewers before it is signed, you may as well reconcile yourself to the fact that it may be changed. Even if it goes directly from you to the captain, do not feel distressed if he insists on having it worded his way before he puts his name on it. He has to take the responsibility for it.

This does not mean that you should not defend what you have written if you think there is any misunderstanding, or that any of your reasoning has been overlooked. A certain amount of polite explanation is justifiable, and in fact, a part of your duty. Just do not allow yourself to feel that criticism of your letter is an attack on you. If you do, you will diminish your capacity to learn from experience, and to improve your letter writing as you go along.

FORMAL SOCIAL NOTES

Many ships find little necessity for social correspondence; on others, the personnel participate in numerous social events, requiring invitations and replies. It depends on the type of duty the ship is performing.

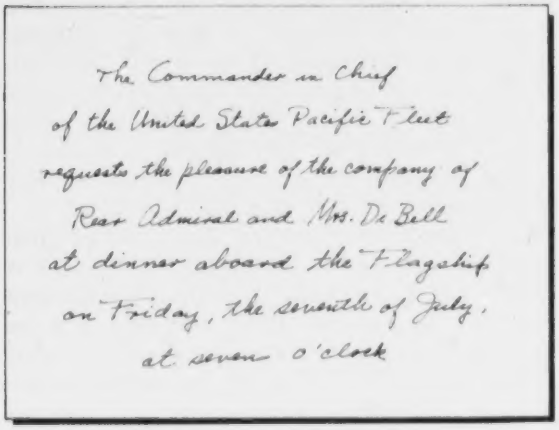
In composing formal social correspondence, time and usage have laid down a series of rules which must be followed for the sake of good taste.

INVITATIONS

Formal invitations (except those which are engraved) are always written in longhand, never typed or run off on a duplicating machine. Brightly colored ink is considered too extreme; use blue-black or black. Use the originator's personal note paper if he has any. If the originator has none, use white or cream colored note paper of good quality. The important thing is neatness; the writing must be legible (with no erasures or other untidiness), and the contents must be properly centered.

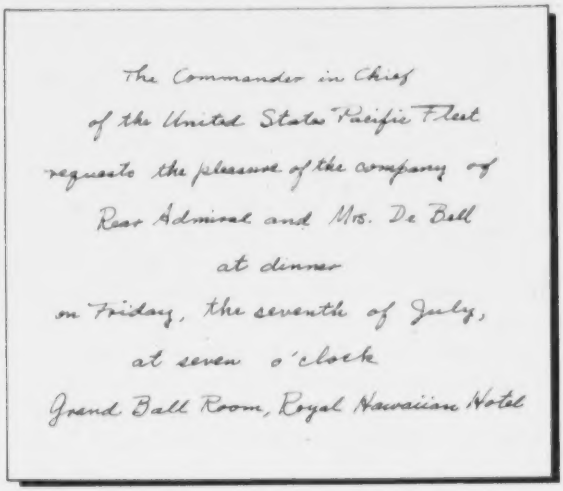
WORDING

Figure 4-1 is a sample formal invitation. Note several things. The invitation is written in the third person, present tense. The name of the host (in this case his title) is in the third person, the word "requests" is in the present tense, active voice. The name or title of the host is


The Commander in Chief
of the United States Pacific Fleet
requests the pleasure of the company of
Rear Admiral and Mrs. De Bell
at dinner aboard the Flagship
on Friday, the seventh of July,
at seven o'clock

21.3

Figure 4-1.—Formal written invitation.


The Commander in Chief
of the United States Pacific Fleet
requests the pleasure of the company of
Rear Admiral and Mrs. De Bell
at dinner
on Friday, the seventh of July,
at seven o'clock
Grand Ball Room, Royal Hawaiian Hotel

138.2

Figure 4-2.—Formal written invitation to an event in a public ball room.

always shown in full, although the guest's name need not be ("your company" is permissible). The date and hour are written in words: if dinner were to start at 7:30 p.m., it would be shown as "half past seven o'clock." Numbers may be used in an address. The only time you use punctuation is when words need separation on the SAME LINE. You will seldom see punctuation in formal invitations or replies.

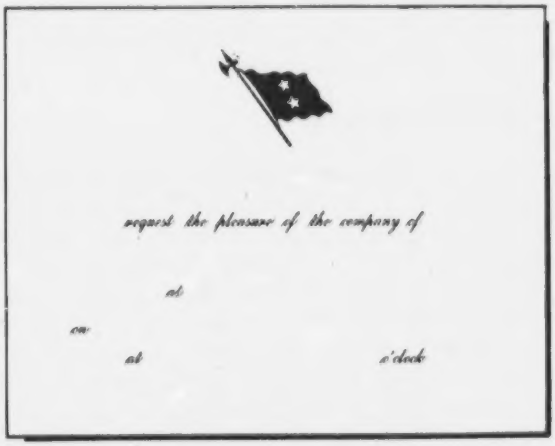
The general format for wording the formal invitation is as follows: Line 1, name or title of the host. (Fig. 4-1 uses two lines because of the length of the title.) This is followed by (1) the invitation, (2) name(s) of guest(s), (3) type of function, (4) date, (5) time, and (6) when at other than host's home, address is centered below the line stating the time or in the lower right corner (fig. 4-2).

Many invitations contain the letters R.s.v.p. (or R.S.V.P.) in the lower left corner. This is a French phrase, "Repondez s'il vous plait," meaning "please reply." "A favor of a reply is requested" is sometimes used instead. Thus, the host will know in advance the number of guests to expect.

When a function is held aboard ship, a schedule of boats and the dock from which they will leave may be included. This is usually shown in the lower left corner. When R.s.v.p. is at the lower left, the boat schedule will appear in the lower right corner.

ENGRAVED INVITATIONS

When the ship sponsors a large social function, invitations may be wholly or partially engraved. If they are engraved for only one function, they are either wholly engraved (with



21.4

Figure 4-3.—Partially engraved invitation.

"your" substituted for the guest's name) or wholly engraved except for the guest's name which is written in. Partially engraved cards are more practical since they can be used for many occasions. (See fig. 4-3.) Space is left for inserting, in longhand, the guest's name, the type of function, and the date and time the affair will take place.

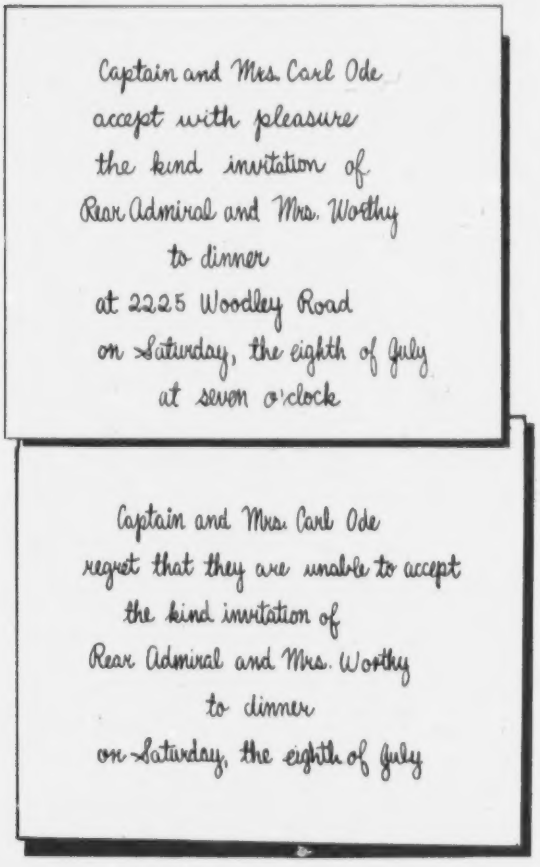
REPLIES

Whether or not an invitation requests a reply, most formal invitations should be answered. A notable exception is the invitation to a church wedding (home weddings and wedding receptions require replies). The general rules about answering invitations are that (1) they should be answered as promptly as possible (one authority specifies that replies to dinner or luncheon invitations should be made within 48 or if possible 24 hours) after receipt of the invitation, and (2) the form of the reply should correspond to the form of the invitation.

If you are asked to prepare a reply to a formal invitation, be sure that you use not only the correct form, but also, as with the invitation itself, that it is written as legibly and as attractively as possible. A centered format similar to that used in the invitation is appropriate. Stationery and ink should be selected by the same rules as for invitations.

When accepting an invitation, the date, time, and place are always repeated. This lets the host know there is no misunderstanding. In a reply expressing regret, it is not necessary to repeat the time.

Figure 4-4 shows samples of an acceptance and a note of regret.

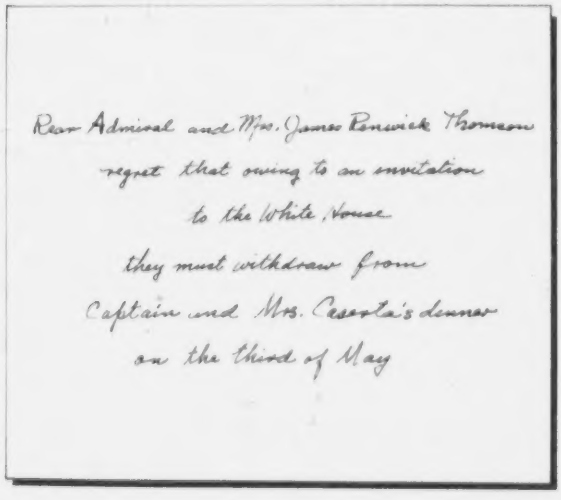

Captain and Mrs. Carl Ode
accept with pleasure
the kind invitation of
Rear Admiral and Mrs. Worthy
to dinner
at 2225 Woodley Road
on Saturday, the eighth of July
at seven o'clock
Captain and Mrs. Carl Ode
regret that they are unable to accept
the kind invitation of
Rear Admiral and Mrs. Worthy
to dinner
on Saturday, the eighth of July

21.5

Figure 4-4.—Formal acceptance and regret.

WITHDRAWING AN ACCEPTANCE

There may be occasions when it is necessary


Rear Admiral and Mrs. James Renwick Thomson
regret that owing to an invitation
to the White House
they must withdraw from
Captain and Mrs. Cesenta's dinner
on the third of May

138.3

Figure 4-5.—Withdrawal of acceptance.

to withdraw an acceptance. Valid reasons are: serious illness, a death in the family, prospective absence occasioned by a transfer of duty, official duty, or very important business elsewhere. Figure 4-5 is a sample withdrawal of acceptance. A point to remember is that an invitation from the White House or Chief of Mission takes precedence over all other invitations.

SUMMARY

While every rule for drafting correspondence is not discussed here, enough material is covered to assist you in drafting correspondence that is correct in sentence and paragraph structure. Official social correspondence is covered in sufficient detail to provide guidance in almost any situation that may arise.

CHAPTER 5

SHIP'S ORGANIZATION

INTRODUCTION

How much do you really know about organization? Suppose the captain buzzed for you, and said, "I need some information immediately. First, I want to see directives that are the basis for the Organization and Regulations Manual for the ship. Second, I want the directives that govern staff organization. Third, I want to know which division has responsibility for lubricating the anchor windlass. Last, I want to see the latest ship's regulation on search and seizure."

The answers to these questions and many like them are at your fingertips in Navy Regulations, General Orders, NWP 12, NWP 50(A), and the Ship's Organization and Regulations Manual. It is important that you be familiar with these publications.

Navy Regulations authorizes fleet commanders in chief to establish standards for shipboard organization within their command. General guidelines are contained in NWP 50(A), an OpNav publication. This authority is passed on to type commanders, who in turn issue the general standards for ships in their command. Commanding officers, then, use the guidelines laid down by their type commanders in preparing the organization and regulations manual for their ships. This ensures that the manual for each ship of a particular type will be relatively similar in format and content.

There are three advantages to this system:

- Ships transferring from one fleet or force to another can do so without revising their internal procedures.
- Personnel transferring from one ship to another need no re-training in basic procedures.
- The manual becomes a standard reference book for training junior officers and enlisted men.

You have already studied, in *Military Requirements* and *Yeoman 3 & 2*, the organization of the Navy Department, fleets, district commands, and the individual ship. It may be advisable at this point for you to break out these texts and review these topics as a preliminary to the remainder of this chapter, which deals primarily with the preparation and maintenance of the *Ship's Organization and Regulations Manual* and a brief discussion on staff organization and its relationship with the flagship.

SHIP'S ORGANIZATION AND REGULATIONS MANUAL

The ship's organization manual is more than rules and instructions put together by the captain and executive officer. The guidelines are laid down by CNO for fleet commanders, who relay them to their type commanders, and they are passed on to individual ship commanders.

PURPOSE

The ship's organization manual is prepared to give stability to shipboard practices and to provide ship's personnel with a ready source of information concerning duties, responsibilities, and authority under all conditions. By making these three factors clearly understood, confusion and conflict within the organization are eliminated. Basically, the organization manual

spells out who does what, and who is responsible to whom for seeing that "what" is done.

CONTENTS

Not including the battle bill, which is bound separately, the Ship's Organization and Regulations Manual contains four parts:

- Administrative organization
- Watch organization
- Ship's bills, and
- Ship's regulations

The departmental organization manuals, based on the ship's organization manual, may be included. The department manuals include the duties of the assistants to the department heads, and of other junior officers.

ADMINISTRATIVE ORGANIZATION

The administrative organization of a ship is divided into five sections:

- Command
- Executive officer's assistants
- Department heads
- Division officers
- Boards and committees

Description of the billets in the organization manual must be complete and specific. Each billet must show the:

- Basic function
- Duties, responsibilities, and authority; and
- Organizational relationships of that billet

The last is usually confined to showing who is responsible to the officer filling the billet, and to whom he is responsible.

COMMAND

"In combatant ships," says Navy Regulations, "the requirements for battle shall be the basis for the organization of the ship . . . The provisions of Navy Regulations also apply to noncombatant ships."

The administrative organization of the ship, according to NWP 50(A), closely approximates the battle organization, except that it provides for certain additional functional components which have no place in battle but are necessary to support battle functions. These latter are support functions.

Heading the organization, both battle and administrative, is the commanding officer. He exercises command control and is responsible during action to engage the enemy to the best of his ability. The commanding officer has continued responsibility for the safety, well-being, and efficiency of his entire command.

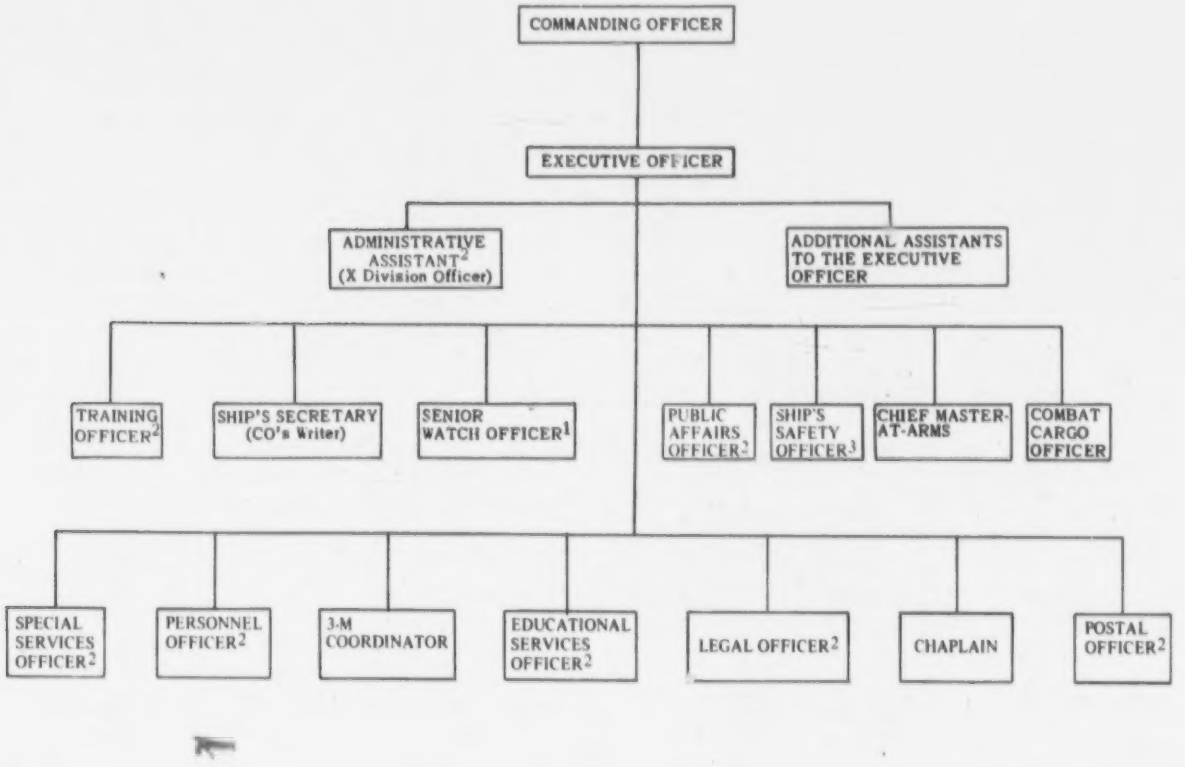
The function of command takes in both the commanding officer and executive officer.

The CO has absolute responsibility for his command. The XO functions as an aide to the captain. He is charged with executing the orders of the captain. He supervises the administration of the ship and assumes the duties of the CO in the CO's absence.

EXECUTIVE OFFICER'S ASSISTANTS

The size of the executive officer's organization depends on the size of the ship and number of officers available. Officers may act as assistants to the XO either as a primary or collateral duty. Persons assigned to the following billets are assistants to the XO and as such report directly to him in the performance of their assigned duties:

- Administrative Assistant (X Division Officer)
- Training Officer
- Ship's Secretary
- Senior Watch Officer
- Public Affairs Officer
- Ship's Safety Officer
- Chief Master-at-Arms
- Combat Cargo Officer
- Special Services Officer
- Personnel Officer
- 3-M Coordinator
- Educational Services Officer
- Legal Officer
- Chaplain
- Postal Officer



138.11

Figure 5-1.—The Executive's Assistants.

On small ships the XO may have to fill several of these billets himself.

DEPARTMENT HEADS

Navy Regulations authorizes five departments on each ship:

- Operations
- Navigation
- Weapons or deck (both are included on a CVA)
- Engineering
- Supply

The five departments must be included in any organizational manual you prepare. The first four departments are command departments, and are headed by officers having cognizance over the major control functions of a ship in battle. The supply department is a support department.

The weapons officer heads a department when the ship's primary characteristics relate to ordnance or aircraft as shown in figure 5-2. He has as an assistant a first lieutenant who is responsible, under him, for those duties primarily associated with deck seamanship. Other ships such as cargo or repair ships, have a deck department headed by a first lieutenant. He has as his assistant, the gunnery officer who is responsible for duties primarily relating to ordnance.

In addition to the four command departments authorized by Navy Regulations, there may be several other command departments, depending

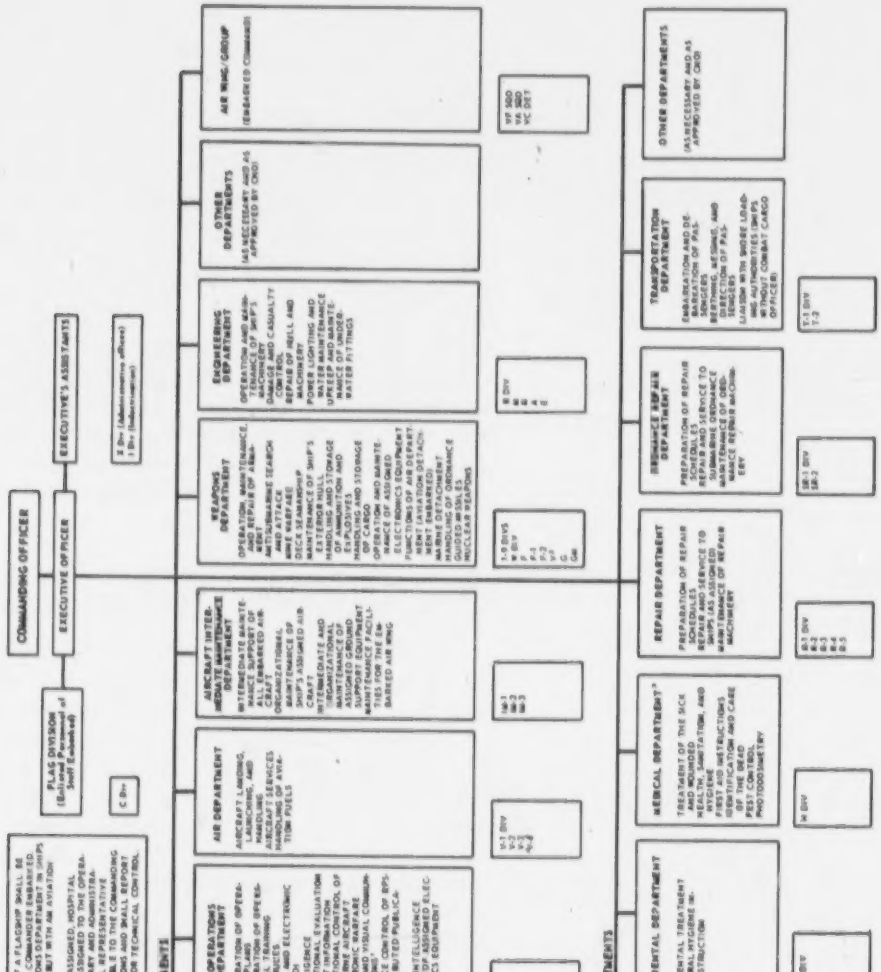


Figure 5-2.—Shipboard Organization.

27.1

on the size and type of ship, as shown in figure 5-3.

The head of a department represents the commanding officer in all matters pertaining to his department. He is to his department what the captain is to the ship as a whole. His most important duty is to organize and train his department to ensure readiness for battle. In certain matters he has direct access to the captain, although as a matter of courtesy he usually goes to the executive officer first. If it becomes necessary to report directly to the captain on some matter, he informs the XO of his action.

DIVISION OFFICERS

Within a department, there may be several divisions. A large operations department may have as many as eight divisions. Each division has only one function, except where two or more divisions are combined. An officer is assigned to each division. The division method is used in order that a "division" of men may be assigned as a unit in the battle organization.

On large ships the personnel assigned to one of the executive officer's assistants are in the X division. Personnel assigned to a division in the supply department would be in S-1, S-2, S-3, S-4, S-5, S-6, or S-7 division. The S tells you the individual is in the Supply Department, and the numeral pinpoints the specific division. On the other hand, a man in the air department is in one of perhaps four V divisions, (V-1, V-2, V-3, or V-4). But do you know what department the R division is part of? It's the repair division of the engineering department. Repair department divisions (on repair ships only) are numbered R-1 through R-5.

Each large division has a division officer, a junior division officer (JDO), and a division training officer. In matters pertaining to the division, the division officer reports to the department head. Both the JDO and the division training officer report to the division officer (the training officer does not report to the JDO).

The division designations shown in figure 5-4 list the standard letter or numeral designations used to identify the divisions of a ship. The purpose of these designations is to establish uniform identification for all types of ships. If additional divisions are established, it is the responsibility of the type commander to assign the proper identification.

ORGANIZATION CHARTS

No ship's organization manual is complete without organization charts. By including charts, one can readily see who is responsible to whom and for what function. These charts do not describe jobs or pinpoint duties; they merely state the function(s) of a particular billet or section within the organization. Organization charts should be able to stand alone with a minimum of explanatory notes or definitions.

Should you have occasion to assist in writing an organizational manual, keep in mind that the symbols used to identify the divisions of a ship are standard throughout the Navy and should not be changed. Some symbols are easily recognized, some are not.

BOARDS AND COMMITTEES

Included within the administration section of the ship's organization manual are various boards and committees, which are set up to advise the CO on policy and procedural matters. They do this by conducting audits and inventories, by acting as judicial or examining bodies, and by carrying out other functions as directed.

Assignment to a Board

The executive officer controls the assignment of personnel to boards and committees. As a general rule, it is not necessary that officers detailed to the various boards be assigned by formal letter unless such assignments involve certain limitations or special conditions. There are one or two exceptions to the rule. For example, the cash verification board, which audits the disbursing officer's cash account at least once each quarter, must be appointed in writing by the commanding officer as directed by Navy Regulations. Boards of investigation and courts-martial boards, because of possible legal consequences, are also appointed in writing. Type or fleet commanders, may direct that COs make all collateral duty assignments

DEPARTMENT ORGANIZATION																
SHIP TYPES	MAJOR COMMAND DEPARTMENTS									STAFF DEPTS			SPECIAL			
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
	Navigation	Operations	Weapons	Deck	Engineering	Air	Aircraft Intermediate Maint.	Communications	Reactor	Supply	Medical	Dental	Repair	Ordnance Repair	Hydrographic	Flag Division
Amphibious																
LCC	X	X		X	X			X		X	X	X				
LPA, LKA	X	X		X	X					X	X	X				
LPD	X	X		X	X	X				X	X					
LPH	X	X	X		X	X	X	X		X	X	X				
LSD	X	X		X	X					X	X					
LST	X	X		X	X					X						
Carriers	X	X	X	X[5]	X	X	X	X	X[4]	X	X	X				
Cruisers	X	X	X		X					X	X	X				
Destroyers	X	X	X		X					X						
Mine Warfare	X	X		X	X					X						
ADG	X	X		X	X											
MCS	X	X		X	X	X				X	X					
MSO, MSC	X	X		X	X											
Patrol	X	X	X		X					X						
Submarines	X	X	X		X					X	X					
Auxiliary																
AD	X	X		X	X					X	X	X	X			
AE	X	X		X	X					X	X					
AF	X	X		X	X					X	X					
AFS	X	X		X	X					X	X					
AGF		X		X	X					X						
AGS	X	X		X	X					X	X	X			X	
AH[1]	X	X		X	X					X						
AKS	X	X		X	X					X						
AO	X	X		X	X					X						
AOE	X	X		X	X					X	X					
AOR	X	X		X	X					X	X					
APB		X		X	X					X	X	X				
AR	X	X		X	X					X	X	X	X			
ARC	X	X		X	X					X	X					
ARG	X	X		X	X					X	X	X	X			
ARL	X	X		X	X					X	X		X			
ARS	X	X		X	X					X						
AS	X	X		X	X					X	X	X	X			
ASR	X	X		X	X					X						
ATA		X		X	X					X						
ATF	X	X		X	X					X						
AVM		X	X		X					X						

NOTES

1. IN HOSPITAL SHIPS, THE MEDICAL AND DENTAL DEPARTMENTS ARE INTEGRATED WITH THE HOSPITAL.
2. ON SMALL SHIPS, NAVIGATION DEPARTMENT SHALL BE INTEGRATED INTO THE OPERATIONS DEPARTMENT FOR ADMINISTRATION AND REPORT TO THE NAVIGATOR FOR TECHNICAL CONTROL.
3. ON SOME SMALL SHIPS, SUPPLY DUTIES ARE DELEGATED TO A LINE OFFICER, AND AS SUCH HE SHALL BECOME A DEPARTMENT HEAD.
4. ON THOSE SHIPS HAVING REACTORS.
5. ON CVA ONLY; NOT A DEPARTMENT ON CVS.

138.12

Figure 5-3.—Department Organization.

the subject of official letters, or COs may do so on their own.

Boards and committees which meet frequently - monthy, quarterly – are on a continuous basis, and should be covered in the organizational manual. Five items should be shown for each board listed:

- Basic function (or purpose) of the board
- Membership (how many; officer or enlisted; mandatory exemptions)
- Procedure
- Convening dates
- Reference or authority for convening, if any *(BuPers Manual, Navy Regulations, etc.)*

The manual need not show every board or committee which it is possible to form; additional ones may be established whenever directed.

TYPES OF BOARDS.—Most of the boards which should be discussed in the organization manual come within one of the following types:

- Audit, inventory, and survey
- Courts-martial
- Examining and investigating
- Planning and advisory
- Communications

Audit, inventory, survey, and courts-martial boards are self-explanatory. Examining and investigating boards are established for the purpose of conducting advancement examinations, interviewing personnel for various officer programs, determining the instrument flying proficiency of attached pilots, and investigating accidents. Planning and advisory boards include training, recreation council, recreation committee, and the character guidance board. The communications board is usually confined to the ship's coding board, although a censorship board may be established during time of war.

WATCH ORGANIZATION

Chapter two of the ship's organization and regulations manual establishes the watch organization structure.

The objective of any watch organization is the security of the ship under all conditions and the best degree of efficiency in the ship's administration. Personnel on watch are responsible for the ship, her machinery, and all persons on board. The watch organization is second in importance only to the organization for battle.

You learned in Basic Military Requirements of the various conditions of readiness that govern the types of watches being stood. The ship's regulations must provide a watch organization for each degree of readiness, from peacetime in port to general quarters while underway.

This chapter illustrates two watch organizations for in-port and underway steaming as shown in figures 5-5 and 5-6. Overall functions are inherent in the titles of the boxes, but the detailed authority and specific duties connected with those functions are spelled out by the CO and the department heads, and should be explained in the organization manual.

ORGANIZATION BILLS

Chapter 3 of the Ship's Organization and Regulations Manual establishes the organization bills, or ship's bills. These bills are of three types, each type described in a separate section of the chapter:

Section 1 – Administrative Bills
- Personnel assignment
- Berthing and locker
- Cleaning and maintenance

Section 2 – Operational Bills
- Special sea detail
- Replenishment at sea
- Rescue and assistance
- Landing party
- Visit and search, boarding and prize crew

Section 3 – Emergency Bills
- General emergency
- Man overboard

Although your type commander prepares a general ship organization and regulations manual for all the ships under his command, it seldom happens that ships realize the ideal conditions upon which the type commander's manual is based. For this reason COs are authorized, where necessary, to modify the type commander's

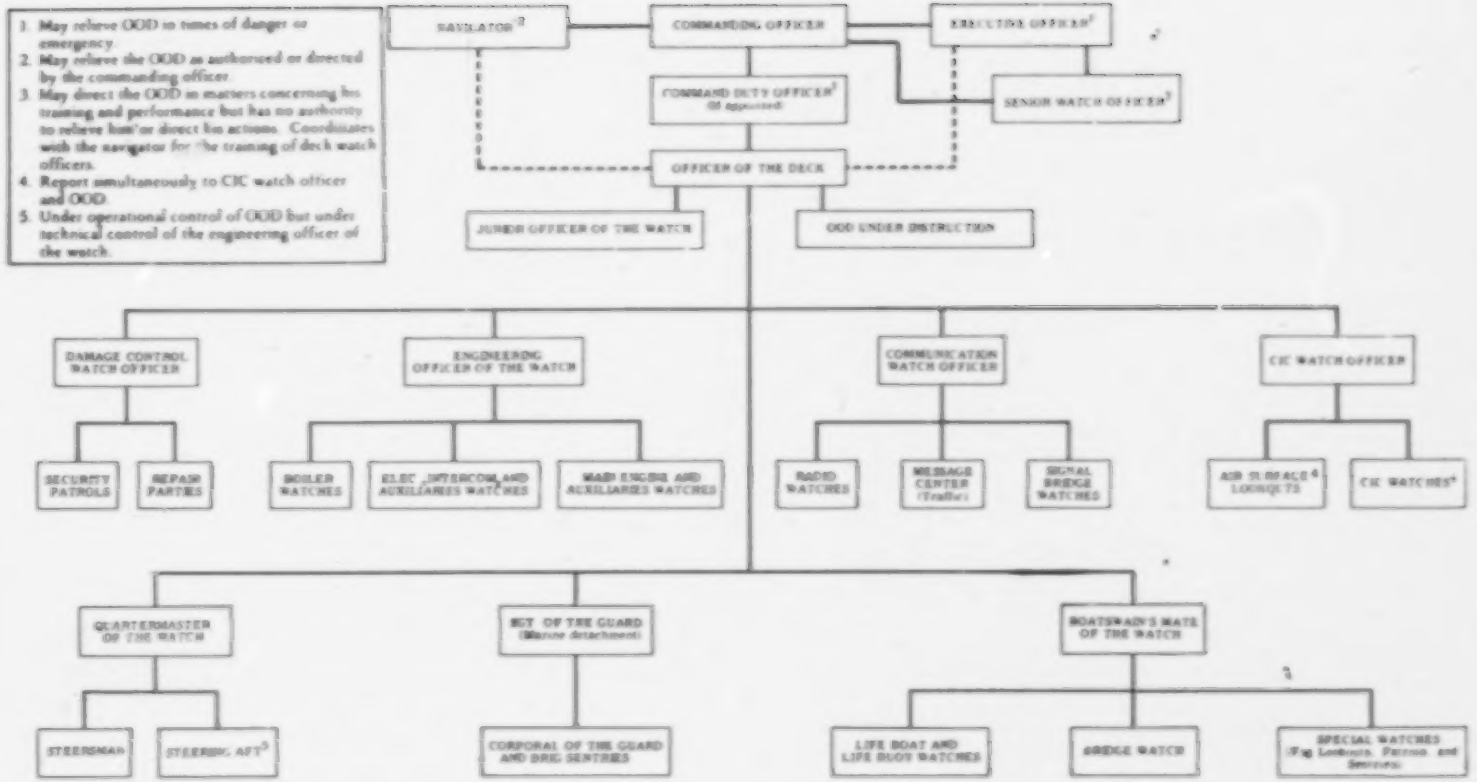
DEPARTMENT	ONE DIVISION	OVER ONE DIVISION	FUNCTION
Weapons	1	1-9	Gunnery and deck seamanship
			Marine detachment
		W	Nuclear weapons assembly; aviation ordnance
		F	Fire control
		F-1	Missile fire control
		F-2	Antisubmarine warfare
		V	Aviation (for ships without an air department but with aviation detachment embarked)
		-	
		G	Ordnance handling
		GM	Guided missiles
Deck	1	1-3	Deck seamanship and cargo handling
Engineering	E		Engineering
		B	Boilers
		M	Main engines
		A	Auxiliaries
		E	Electrical
		R	Repair
Supply	S		Supply
		S-1	General supply support
		S-2	General mess
		S-3	Clothing and small stores, ship's stores, and services
		S-4	Disbursing
		S-5	Officers' messes
		S-6	Aviation stores
		S-7	Data processing division
Medical	H		Medical
Dental	D		Dental
Repair (Repair ships and tenders)	R		Repair
		R-1	Hull repair
		R-2	Machinery repair
		R-3	Electrical repair
		R-4	Electronic repair
		R-5	Ordnance repair
Ordnance Repair (Submarine Tenders)	SR		Repair
		SR-1	Repair and service
		SR-2	Maintenance of repair machinery
Transportation (MSTS transports)	T		Transportation
		T-1	Transportation
		T-2	Administration
Boat Group (LPA-LKA-MCS types)	BG		Boat operation, maintenance, and repair

DEPARTMENT	ONE DIVISION	OVER ONE DIVISION	FUNCTION
Embarked staff	C		All enlisted personnel serving with an embarked staff
		C-1	Administrative, operations, logistics, and other clerical personnel
		C-2	Communications (radio and visual)
		C-3	Barge and boat crews, drivers and orderlies
		C-4	Stewards
Executive's assistants	X	X	Administration (personnel assigned to captain's office, executive officer's office, chaplain's office, print shop (except tenders), training office, legal office, and so forth.)
		I	Indoctrination (recruits and newly reported personnel)
Navigation	N		Assistance to navigator
Operations	O*		Operations
		OA**	Intelligence, photography, drafting, printing and reproduction, and meteorology
		OI	CIC (also lookouts, when combined)
		OL	Lookouts
		OR*	Radio communications
		OS*	Visual communications
		OE	Electronic repair
		OC*	Normally OC combines OR and OS. In carriers, OC is the carrier air traffic control center division
		OP	Photo intelligence
Air (carriers)	V		Aviation
		V-1	Plane handling (flight deck)
		V-2	Catapults and arresting gear
		V-3	Plane handling (hangar deck)
		V-4	Aviation fuels
Aircraft intermediate maintenance	IM	IM-1	Administration; maintenance/material control; production control; quality assurance; aviation 3M analysis.
		IM-2	General aircraft maintenance (airframe/power plants and GSE); organizational maintenance of ship's assigned aircraft.
		IM-3	Avionics/Armament systems maintenance; precision measuring equipment qualification and repair.

*The communication force of a flagship shall be under the direction of the commander embarked.
**The intelligence, photography, and graphic reproduction force of a flagship shall be under the direction of the commander embarked.

138.13

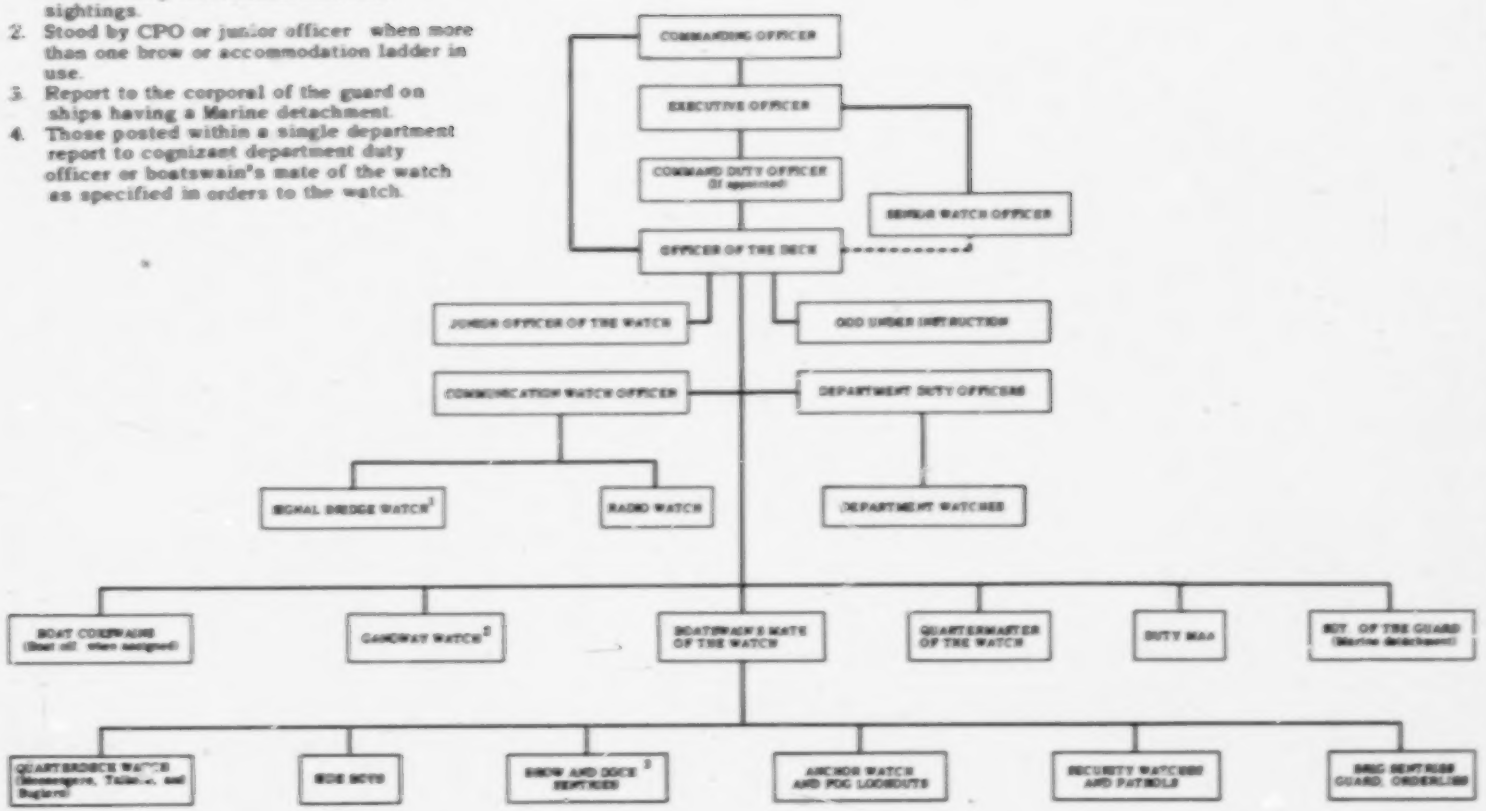
Figure 5-4.—Division Designations.


1. May relieve OOD in times of danger or emergency.
2. May relieve the OOD as authorized or directed by the commanding officer.
3. May direct the OOD in matters concerning his training and performance but has no authority to relieve him or direct his actions. Coordinates with the navigator for the training of deck watch officers.
4. Report simultaneously to CIC watch officer and OOD.
5. Under operational control of OOD but under technical control of the engineering officer of the watch.
NAVIGATOR[2]
COMMANDING OFFICER
EXECUTIVE OFFICER[2]
COMMAND DUTY OFFICER[2] (If appointed)
SENIOR WATCH OFFICER[2]
OFFICER OF THE DECK
JUNIOR OFFICER OF THE WATCH
OOD UNDER INSTRUCTION
DAMAGE CONTROL WATCH OFFICER
ENGINEERING OFFICER OF THE WATCH
COMMUNICATION WATCH OFFICER
CIC WATCH OFFICER
SECURITY PATROLS
REPAIR PARTIES
BOILER WATCHES
ELEC., INTERCOM, AND AUXILIARIES WATCHES
MAIN ENGINE AND AUXILIARIES WATCHES
RADIO WATCHES
MESSAGE CENTER (Traffic)
SIGNAL BRIDGE WATCHES
AIR SURFACE[4] LOOKOUTS
CIC WATCHES[4]
QUARTERMASTER OF THE WATCH
SGT. OF THE GUARD (Marine detachment)
BOATSWAIN'S MATE OF THE WATCH
STEERSMAN
STEERING AFT[5]
CORPORAL OF THE GUARD AND BRIG SENTRIES
LIFE BOAT AND LIFE BUOY WATCHES
BRIDGE WATCH
SPECIAL WATCHES (Eg. Lookouts, Phones and Sentries)

138.14

Figure 5-5.—Watch Organization Underway (Routine Steaming).

1. Reports directly to the OOD on general information signals, absentee pennants, honors, ship movements, and other sightings.
2. Stood by CPO or junior officer when more than one brow or accommodation ladder in use.
3. Report to the corporal of the guard on ships having a Marine detachment.
4. Those posted within a single department report to cognizant department duty officer or boatswain's mate of the watch as specified in orders to the watch.



138.15

Figure 5-6.—Watch Organization in Port.

OFFICERS' STATIONS AND DUTIES

OFFICER	STATION	DUTIES
Commanding officer	Bridge	Conn or supervisor
Executive officer	Bridge	Coordinate evolution
Weapons officer	Fantail	In charge aft
Signal officer	Bridge	Harbor visual comm.
Officer of the deck	Quarterdeck	Prepare to take over watch

ENLISTED PERSONNEL STATIONS AND DUTIES

STATION	DIV	RATE	DUTIES
PILOTHOUSE			
BM station	Deck	BM	BM of the watch
QM station	N	QM	QM of the watch
Wheel	N	QM	Steering
Eng. rev. indicator	N	QM	Operate annunciators and eng. rev. indicator
STEERING AFT			
Wheel	N	QM	Steering when required
Steering engine	A	MM	Repairman
Steering engine	E	EM	Repairman
COLORS			
Jackstaff	Deck	SN	Tend Jack
Colors (*gaff*)	N	SN	Tend ensign
Colors aft	Deck	SN	Tend ensign

138.8

Figure 5-7.—Special sea detail.

manual when preparing their own organization manuals. The type commander outlines procedures and includes within his guide the basic elements needed for most ships.

The Ship's Organization and Regulations Manual does not list names in any of its bills. It shows, by rate, rating, rank or title, the persons to be assigned to the various duties. The division officers make the actual assignments by name. Figure 5-7 is a partial example of a special sea detail bill for getting underway and entering port.

BATTLE BILL AND WQS BILL

The battle bill provides for manning battle stations as required by the ship to meet the various conditions of readiness for action. Although it is a part of the organization manual, it is classified and therefore bound separately. The battle bill lists stations to be manned, based on the ship's armament. It does not list names.

You learned about the watch, quarter, and station bill in Basic Military Requirements. This bill assigns each man in a division, by name, to a specific station or duty under each of the ship's other bills. Preparation and upkeep of this bill is the responsibility of each division officer for the men in his division. Because of its nature (assignment by name) it is not included in the ship's organization manual.

The watch, quarter, and station (WQS) bill is the division officer's summary of assignments of the men in his division, by section, to duties and stations under a number of varying conditions. Its main purpose is to inform division personnel

of their assignments. It is normally posted outside the ship's office. A master list of all assignments may be posted centrally in a passageway used by all personnel.

SHIP'S REGULATIONS

Chapter 4 of your organization manual contains the ship's regulations. Ship's regulations differ from ship's bills in that the bills assign personnel to specific duties and stations in order to accomplish certain functions, while the regulations, pertaining to all hands collectively, provide administrative control. A ship's regulation is a tool used to control the group and the individual. Regulations also affect the conduct of personnel in their relations with one another, protecting individuals from interference and injury, and in so doing contribute to the harmony that is necessary for efficient performance and good order of the ship.

We will not go into all the ship's regulations. The possibilities are too many and too varied, since they depend on the discretion of the CO. It is enough at this point to say that there are two types: general regulations and safety regulations.

General regulations include directives that pertain to overall administration of the ship: possession of alcohol and narcotics, leave and liberty, gambling, profane language, and safe combinations.

Safety regulations are orders issued by the CO which prohibit certain practices that would endanger the safety of the ship or its personnel. These include: times when life jackets shall be worn, rules for smoking, rules for working aloft and over the side, operation of machinery, and use of power tools.

To be legally binding, the ship's regulations must be approved and signed by the captain. Care must be taken to specify who is subject to the ship's regulations; i.e., "All persons embarked in or attached to this vessel . . . etc." There must be no doubt as to the scope and intent of each regulation, and a procedure must be established to ensure that the regulations are disseminated to the crew. For example, they may be read at quarters periodically by division officers; men newly reporting may be required to read them.

The signed original of all ship's regulations should be retained in a special file; it can then be used for legal proceedings or as evidence.

Within the organization manual the regulations are identified and typed one after the other in running style, no signatures being needed since the signed original is on file.

WRAPPING IT UP

Your organization manual is now almost complete. Chapters have been included on the administrative and watch organization of the ship, on the ship's organization bills, and the ship's regulations.

For convenience in adding supplementary material, there will probably be an appendix or two appearing at the back of the manual, just before the index (if any). The CO issues a letter of promulgation, usually in the form of an Instruction, establishing his *Ship's Organization and Regulations Manual*; this is placed in the front of each copy.

All pages preceding chapter 1 are numbered by small roman numerals. The pages of each chapter, each appendix, and the index are numbered in a separate series with Arabic numerals, the number of each page preceded by the identification of the appropriate part of the book. Pages 2-15, A-3, and I-2, for example, refer to pages contained in chapter 2, appendix A, and the index, respectively.

TABLE OF CONTENTS

Your table of contents may be elaborate or not, depending on the size of the manual and whether you have an index. In general, the table of contents is restricted to items of importance. Topics are listed in the same order as they are shown in the manual, giving the page number where the topic begins. Figure 5-8 presents a sample contents page.

The table of contents, although placed in the front part of the manual, is done last except for the index because by that time you know what page number will be used for each chapter and section. Unless you know the page numbers, it is impossible to complete the table.

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Figure 5-8.—Sample Contents Page—Ship's Organization and Regulation Manual.

STAFF ORGANIZATION

Since Yeomen are frequently assigned to staffs, the staff organization and its relationship with the flagship are discussed briefly.

A staff is organized into such divisions as may be prescribed by the commander concerned, or higher authority. *Navy Regulations* provides that

these divisions conform in nature and name to those of the staffs of seniors in the chain of command.

THE TYPICAL NAVY STAFF

Basically, a Navy staff organization includes the chief of staff, the commander's personal aides, and five staff divisions. These divisions: administration, intelligence, operations and plans, logistics and communications are the major structural elements of the staff. (See fig. 5-9.)

There are some variations in nomenclature of staff billets, depending on the rank of the commander and the size of the staff. For commanders who are not of flag rank, a chief staff officer is provided instead of a chief of staff. On small staffs (below fleet, force, sea frontier, and commandant level) the officers heading the five divisions are known as administration officer, intelligence officer, operations and plans officer, logistics officer, and communications officer. On larger staffs the divisions are headed by assistant chiefs of staff for administration, intelligence, and so forth.

STAFF RELATIONSHIP WITH THE FLAGSHIP

The relationship between the staff and the flagship is governed by *Navy Regulations*. Except for matters of general discipline in which they are subject to the internal regulations and routine of the ship, staff officers have no administrative connection with the flagship. Staff enlisted personnel are assigned to the flagship for administration and discipline. The flag division officer, with the approval of the chief of staff, assigns their duties, watches, and battle stations; regulates their leave and liberty; and ensures that they carry out the flagship's administrative routine. In order to discharge his duties effectively, the flag division officer maintains close liaison with the ship's executive officer.

Staff Commanders usually refrain from interfering with the internal administration of the flagship. In this respect, the flagship is the same as any other ship in the command.

Detailed information on the material covered in this chapter may be found in NWP 12, NWP 50(A), Navy Regulations, and General Orders 5 and 19.

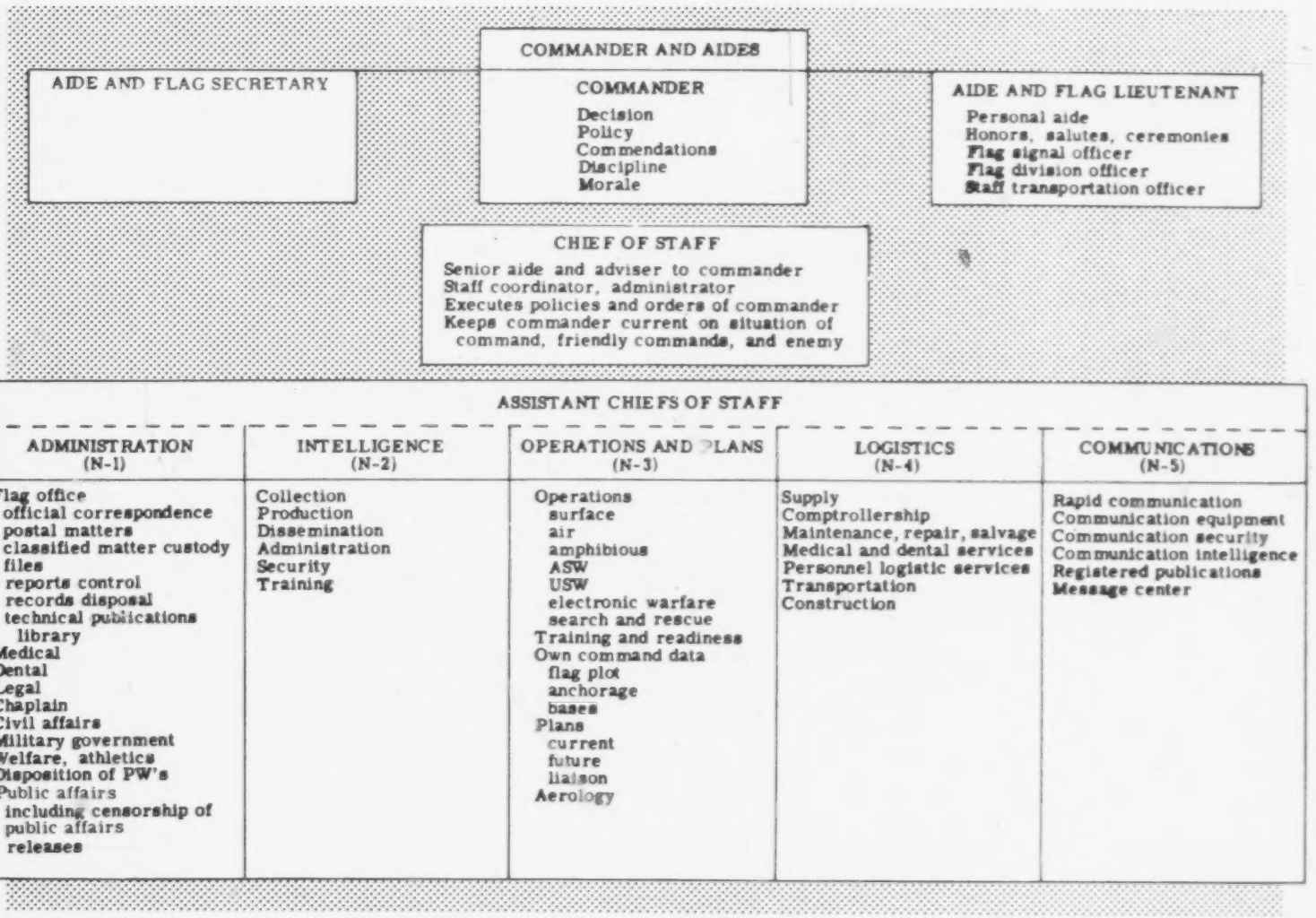

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Figure 5-9.—Typical Staff Organization.

CHAPTER 6

OFFICER SEPARATIONS

The Secretary of the Navy, acting for the President, establishes criteria by which the Navy and Marine Corps may allow voluntary officer separation and still maintain a sound officer corps.

A majority of officer separations are due to retirement or release from active duty. The two types of retirement are disability and nondisability. Nondisability retirement is governed by law to provide fair and equitable retirement of naval personnel. Laws providing for methods by which officers may retire voluntarily after completion of prescribed periods of service, and those laws which establish mandatory retirement and age retirement dates, are referred to as voluntary and involuntary retirement respectively.

RETIREMENTS

VOLUNTARY RETIREMENT

An officer of the Regular Navy may request voluntary retirement upon:

- completion of 20 years active naval service, 10 years of which is served as a commissioned officer above the grade of W-1.
- completing 30 years active service, or
- 40 years in the service of the United States

Physical Examination

A physical examination is required for each member who desires voluntary retirement. Documented proof of a completed physical examination must be forwarded from your activity to the Bureau of Naval Personnel (Pers B8) before the application for retirement is presented to the Secretary of the Navy for his approval. Certification to the Bureau of Naval Personnel of a completed physical may be accomplished by one of the following methods:

- endorsement of TAD orders which ordered the member to a specific place for a retirement physical;
- forwarding a copy of the SF88 (Report of Medical Examination), or,
- a signed statement of the examining medical officer.

Involuntary retirements are established by law. Once a date for retirement has been set, it may not be cancelled or delayed. An exception to this is a permanent warrant officer, who may, with Secnav approval, have his retirement date extended for a maximum period of four months for the purpose of physical evaluation. Therefore, a member scheduled for involuntary retirement must complete his physical examination in time to allow for correction of any existing physical defect(s) prior to his scheduled retirement date.

Officers and warrant officers of the Naval Reserve may be retired with pay after completion of 20 or more years of satisfactory Federal service upon attaining age 60. All service prior to 1 July 1949 is deemed to be satisfactory Federal service. Since 1 July 1949, officers and warrant officers must earn a minimum of 50 retirement points each year in order to credit that year as satisfactory Federal service. Final approval of voluntary retirement rests with the Secretary of the Navy.

INVOLUNTARY OR STATUTORY RETIREMENT

Statutory retirements are made to ensure youth and vigor in responsible positions and to prevent stagnation in grade. Accordingly, the Navy is governed by laws which require the retirement of permanent officers and warrant officers after they reach a certain age, fail selection for promotion, complete a certain number of years of service, or a combination thereof. Statutory retirements require no application from the officer concerned as they are handled administratively by BuPers. The statutory retirement age for permanently commissioned regular officers in the grade of Ensign and above is 62 years. Those officers who fall into this category are retired on the 1st day of the month following the month in which they attain age 62. An officer who has reached age 62, may, at the discretion of the Secretary of the Navy, be retained on active duty until he attains age 64. However, the number of officers in this status may not exceed 10 on active duty at any given time.

The statutory service retirements for officers vary as indicated below:

Rear Admiral

- Unless recommended by a naval board for retention on active duty and approval granted by the President of the United States, each rear admiral will be retired on the 1st day of any month, but not later than the 1st day of the 7th month from the date the board has indicated non-selection for retention. SecNav is responsible for setting the retirement date of those rear admirals not selected for retention.

Captain

An unrestricted line captain of the regular Navy is retired on 1 July following the fiscal year in which he completes:

- 30 years of total commissioned service; is not on a promotion list, and is considered as having twice failed of selection to flag grade, or
- 31 years total commissioned service if not on a promotion list

A restricted line captain of the regular Navy is retired on 1 July following the fiscal year in which the captain completes:

- 31 years total commissioned service if not on a promotion list or selected for continuance on active duty.

A regular Navy captain of the staff corps is retired on 1 July following the fiscal year in which he completes:

- 30 years total commissioned service if not on a promotion list or selected for continuance on active duty, and if considered to have twice failed selection to flag grade, or
- 31 years of total commissioned service

Commander

With the exception of Limited Duty Officers, women officers appointed under 10 U.S. code 5590, and officers of the Nurse Corps, each Commander of the Regular Navy is retired on 1 July following the fiscal year in which he completes 26 years of total commissioned service provided:

- he is not on a promotion list and has twice failed selection to captain.

Lieutenant Commander

Excepting Limited Duty Officers, women officers appointed under 10 U.S. Code 5590, and officers of the Nurse Corps, each Lieutenant Commander of the Regular Navy is retired on 1 July following the fiscal year in which he completes 20 years total commissioned service if he:

- is not on a promotion list and has failed selection to Commander two times.

Limited Duty Officer

A Limited Duty Officer is retired on the first day of the second month following the month in

which he completes 30 years active naval service, exclusive of active duty for training. An exception is a Lieutenant Commander, who, failing selection to Commander two times, is retired on 1 July following the fiscal year in which he failed of selection unless he selects the option discussed below.

A Limited Duty Officer is in a unique category in respect to retirement. He may elect, in place of retirement, to revert to his permanent warrant or enlisted grade. As an example, a permanent warrant officer appointed to Limited Duty Officer status, and who has attained the grade of Lieutenant Commander, but failed selection to Commander, may, at his option, revert to his permanent warrant grade and be continued on active duty.

Warrant Officer (Male and Female)

A warrant officer of the Regular Navy is retired on the first day of the month 60 days from the date he becomes 62 years of age, provided he has completed at least 20 years active service. A permanent warrant officer who attains age 62 prior to completion of 20 years active service may, by approval of the Secretary of the Navy be retained on active duty if he will complete 20 years active service within a period of 60 days after attaining age 64.

Permanent women warrants who have not completed 20 years active service by age 55, may, by SecNav approval, be retained on active duty until completion of 20 years service. In no case will a women warrant be retained in such status beyond 40 days from the date she reaches age 60.

A warrant officer who fails to be promoted in two promotion cycles and has over 18 years, but less than 20 years, is retired on the first day of the month, 60 days from the date he has completed 20 years active service, provided he has not been selected for promotion during this period.

A warrant officer who has completed 20 years active service and is a two-time promotion loser, is retired on the first day of the month, 60 days from the date of the officer's second failure of selection.

Upon completion of 30 years active service, a warrant officer who has not been selected for continuation on active duty, is retired on the first of the month, 60 days from the date he completes 30 years service.

A warrant officer who holds a temporary appointment in the grade of Ensign or above, who twice failed selection to the next higher permanent warrant grade, may, in place of retirement, and with SecNav approval, be retained on active duty in his temporary grade.

Woman Captain

A woman who is appointed as a permanent captain in the regular Navy, is retired on the first day of the month following the month in which she completes 30 years active commissioned service.

Woman Commander

Women of the regular Navy, with a permanent appointment in the grade of Commander, are retired on the 1st day of the month in which they complete 26 years active commissioned service unless:

- they have been selected for promotion.

Woman Lieutenant Commander

A woman Lieutenant Commander of the Regular Navy, who is not selected for promotion, is retired on:

- 1 July following the fiscal year in which she completes 20 years active commissioned service.

Nurse Corps Officers

The retirement of a Regular Navy Nurse Corps Captain who is not selected for promotion, occurs on 1 July following the fiscal year in which she completes:

- 30 years active commissioned service.

A Nurse Corps Commander, Regular Navy, not on a promotion list, or approved for continuance on active duty, is retired on 1 July following the fiscal year in which she has:

- twice failed selection to captain, and
- has completed no less than 26 years of active commissioned service.

A Nurse Corps Lieutenant Commander, Regular Navy, is upon completion of 20 years active commissioned service, retired on:

- 1 July following the fiscal year in which the officer is not on a promotion list and has failed of selection for the second time.

Retired personnel are subject to the orders and regulations set forth by the Secretary of the Navy and may be ordered to active duty only in time of war or national emergency. The retired list represents a permanent status which may only be changed by resignation or discharge as approved by SecNav, or pursuant to the sentence of a court-martial.

An officer is normally retired in the grade he is serving in unless the Secretary of the Navy has determined the officer to have previously served satisfactorily in a higher grade. If such a determination is made, the officer will be retired in the higher grade providing the advancement will not result in a loss of retired pay.

Permanent Warrant Officers who have not served in the grade of Ensign or above, are retired in the permanent warrant grade held on the day prior to retirement, or in a higher temporary warrant grade (if SecNav has determined the individual served on active duty in a satisfactory manner for a period of at least 31 days).

A Temporary Warrant who is permanent enlisted and who has not served in the grade of Ensign or above, is retired in the highest temporary grade held, if it is determined by SecNav that the individual served satisfactorily on active duty for at least 31 days.

DISABILITY RETIREMENT

Title 10 U.S.C. states the statutory authority for retirement of personnel of the Navy and Naval Reserve for service connected disabilities. Under this law, service personnel are placed on the Permanent or Temporary Disability Retired List (TDRL). The Secretary of the Navy determines what benefits a person is entitled to at the time of placement on either of these lists.

Pending findings of a Physical Evaluation Board (PEB), an enlisted person may be ordered home (if not outside CONUS) in an "awaiting orders status" until such time as SecNav determines final disposition of disability. Officers, unlike enlisted, who are ordered home by their CO, may be ordered home awaiting SecNav disposition only by the Chief of Naval Personnel. Findings by SecNav are normally completed within 30 days after the PEB has completed its hearings.

Records and accounts of those personnel awaiting a decision of their status are retained by their Commanding Officer unless BuPers directs otherwise. Should you have occasion to process a person who is being ordered home in an "awaiting orders" status, be sure you complete all separation procedures requiring his presence before his departure. This is necessary in the event SecNav directs separation or retirement, as it will preclude the necessity of the individual to return to his command for final processing. The final step then can be accomplished through the mail. Once approved, BUPERS issues all orders to personnel who are placed on the Permanent or Temporary Disability List.

Personnel in a Temporary Disability Retired List status undergo periodic physical examinations, and if found unfit for active duty are continued in this status for a maximum period of five years. At the end of five years, if the individual is found unfit for duty, he is permanently retired. If found fit for duty during the five year period, he is afforded the option of returning to active duty or accepting a discharge.

The law governing physical disability retirements and separations state that:

- Officer and enlisted personnel of the Regular Navy and Naval Reserve are equally entitled to disability retirement.
- Eligibility for disability retirement is based on a combination of degree of disability and years of service.
- Under certain conditions personnel may be separated with severance pay rather than be retired for physical disability.

The basic purpose of the law is to provide a means of separating from active service those personnel who are physically unfit for further duty. One of the key provisions is that no member shall be separated or retired for physical disability without an opportunity of a full and fair hearing if he so desires.

Conditions which must be met for placement on the TDRL are contained in the Disability Separation Manual (NavExos P-1990).

A member who is to be retired for physical disability may elect to have his retirement pay computed by:

- Multiplying his assigned percentage of disability by his base pay or,
- two and one-half percent of his base pay times the total years of service. (part of a year that is 6 months or more is counted as a whole year, whereas service under 6 months is disregarded)

Retirement pay may not be higher than 75%, nor lower than 50% of base pay while on the Temporary Disability Retired List.

OTHER SEPARATIONS

There is a distinct and legal difference between retirement and separation. Upon retirement or release from active duty, an officer remains subject to naval jurisdiction and orders. The jurisdiction is limited by law, but the legal status is there. Retirement does not terminate the status of an officer. Once he has accepted a commission and executed the oath of office, he remains in that office until his status is lawfully terminated by proper authority. Since all officers serve at the pleasure of the President, their commissions contain no terminal date.

When an officer is no longer under naval jurisdiction, he has been totally separated from the Navy. The six types of total separation are:

- Acceptance of resignation
- Discharge for cause
- Revocation of commission
- Termination of commission
- Dropping from the rolls
- Dismissal

Total separations must have the SecNav stamp of approval.

Resignation (Unqualified)

An officer who submits an unqualified resignation may want to resign for the same reason another officer with more service may wish to retire. He may want to pursue a civilian career in a field not available in the Navy, he may wish to attend school, or he may simply lack the motivation for a career in the Navy.

Regular Navy officers may usually submit a resignation after they have completed 4 years commissioned service. If their commissioned service is less than 6 years, they may be required to join the Naval Reserve to complete a total of 6 years. Presently, each individual who is physically and mentally qualified incures a 6-year military obligation at the time of his entry into the military. This obligation may be fulfilled by active and inactive service, however, the total combination must equal 6 years. Reserve officers may submit their resignation after completion of 6 years total active and inactive duty.

Resignations by women officers of the Regular and Naval Reserve on active duty are accepted for release from active duty upon completion of at least 2 or more years of commissioned active service.

Temporary officers, including warrant officers, holding a permanent enlisted grade may request reversion to enlisted grade for the purpose of discharge (expiration of enlistment) or to continue on active duty in their enlisted status.

Approval of an unqualified resignation is not automatic; it is based on the needs of the service and is contingent upon SecNav acceptance.

Submission of an unqualified resignation must include:

- A statement by the disbursing officer as to whether or not the resigning officer's pay record indicates indebtedness to the Government.
- A list of outstanding financial obligations contracted while in the service.
- Data on any outstanding notes which others in the naval service are cosigners,

including their names.
- The exact reason(s) for resigning.

An unqualified resignation, once accepted by SECNAV, carries with it an honorable discharge.

RESIGNATION (QUALIFIED)

An unqualified resignation is the highest type of total separation, whereas a qualified resignation is one which indicates there is some stigma, however slight, attached to the resignation which precludes the awarding of an honorable discharge certificate.

Some reasons for which a qualified resignation may be submitted are:

- Academic failure due to lack of effort.
- Personality or physical defects, when there is nothing to show the officer is doing his best in spite of the deficiency.
- Consistently below-average or unsatisfactory performance of duty.

A qualified resignation, if accepted, usually results in separation under honorable conditions with a general discharge certificate.

RESIGNATION FOR THE GOOD OF THE SERVICE

Resignations for the good of the service provide a means of separating those few officers who are not considered fit to be continued as members of the Navy officer corps. Just as a dishonest policeman reflects adversely on the entire police force, or a troublemaking sailor gives his shipmates a bad name, so does one misfit wearing gold cast doubt in the minds of enlisted men toward officers in general.

Resignation for the good of the service is normally accepted when it is known that an officer is guilty of wrongdoing, but where trial by general court-martial may not be warranted.

An officer who elects to resign in this manner receives a discharge characterized as being under conditions other than honorable.

RESIGNATION TO ESCAPE TRIAL BEFORE A GENERAL COURT-MARTIAL

This form of separation is combined in part with the previous form, namely, "Resignation for the good of the service and to escape trial before a general court-martial."

Trial by general court-martial might result in dismissal from the service and possibly imprisonment, therefore, an officer is sometimes given the alternative of resigning, thereby avoiding trial. Before submitting this type of resignation he should first be given a copy, or a sample copy, of all charges and specifications alleging the offenses for which he might be brought to trial. In some cases, it is deemed inadvisable to accept a resignation of this type unless accompanied by a detailed statement by the resigner as to the extent of his involvement in the alleged offense(s). A statement by a naval psychiatrist or medical officer, setting forth a professional observation of the resigner's mental and physical condition, should accompany the resignation.

Resignations of this type, if accepted, carry with them a discharge under conditions other than honorable.

A summary of forms of resignations and some reasons therefore may be stated as follows:

- Unqualified resignation
  - Age in grade
  - Failure of selection for promotion
  - Personal reasons such as: desire to attend school or accept a civilian job, belief that chances for promotion are poor
  - Dissatisfaction with pay or with service life
- Qualified resignation – provides for a general discharge certificate.
  - Academic failure through lack of effort
  - Chronic indebtedness
  - Unsatisfactory performance of duty
- For good of the service, such as misconduct where trial by court-martial would not be in the best interest of the Navy
- Resignation to escape trial by a GCM

DISCHARGE FOR CAUSE

An officer may put forth his best efforts, but simply not be able to handle the responsibility of a job. The harder he tries, the more he bungles. In spite of rigid entrance requirements it sometimes happens that a person who is not capable of performing his duties ends up getting commissioned. This, in many cases, is no direct

reflection on the officer, he is simply in over his head. Some fail academically despite their best efforts and others have a personality or physical deficiency which prevents them from doing the job as well as required. In spite of their deficiency, they have conscientiously tried, but failed to meet the standards of their fellow officers.

Officers in this category are given the opportunity to submit an unqualified resignation and to receive an honorable discharge. They are said to be discharged for cause, the cause being that they are either physically or mentally incapable of performing their duties properly, through no fault of their own. Although their separation is an honorable one, they may never again be able to serve as an officer in the Armed Forces in the future.

REVOCATION OF COMMISSION

The Secretary of the Navy may revoke the commission of a Regular Navy Officer who holds a permanent appointment above W-4, provided the officer has less than 3 years continuous commissioned service. Naval Reserve Officers and the warrants or commissions of all regular or reserve warrant or Chief Warrant Officers and temporary officers are subject to revocation at any time, regardless of the length of service.

The right to revoke a commission is deliberately held to the junior officer level since the first 3 years of a junior officer's career is a probationary period. Should he prove unsatisfactory, he may be removed from the naval service with a minimum of red tape.

In some cases an officer recommended for revocation of commission is entitled to a hearing, in other cases he is not. For example, if a command recommends to SECNAV that a commission be revoked for the reasons stated below, the officer is normally not entitled to a hearing:

- Failure to satisfactorily complete a course of instruction which he has been ordered to undergo or which is a condition to qualifying for promotion, designation, or duty assignment.
- Unsatisfactory performance of duty, reported by at least two reporting seniors.
- Temperamental unsuitability or unfitness for service as established by a medical examination.

An officer's request for a hearing in BuPers will normally be granted for any of the following reason(s):

- Failure to support a dependent adequately.
- Violation of any criminal statute.
- Malfeasance in performance of duty.
- Violation of a regulation.

The reasons stated in both groups above are not inclusive, but given for general guidance.

An officer granted a hearing in BuPers is merely there in an informal capacity to present his version of the problem.

In recommending revocation of a commission, the following procedure applies.

- A detailed statement giving the reasons for the recommendation is delivered to the officer concerned. The recommendation may be originated by BuPers or a command in the field. The officer concerned acknowledges receipt in writing.
- The officer is informed by the command making the recommendation that he may submit (1) any statement he desires, (2) a resignation, and (3) a request for a hearing in BuPers (for those causes which entitle him to a hearing). He is told that the resignation may or may not be accepted. The command suggests to the officer the form of resignation to use, which depends on the circumstances of the case.
- Unless granted an extension of time by the command, the officer must indicate within 24 hours whether or not he wants to submit any of the items listed above. If he wishes to submit any or all, the command allows him a reasonable time to prepare the papers. He may have counsel if he wishes.
- Should the officer fail to indicate within 24 hours his desires regarding submission of the items above, the officer who originally delivered the reasons for recommending revocation may certify that he has delivered the reasons and that the officer

was informed at that time of his privilege to submit the items, but that no reply has been received. The command may then forward all the papers to SecNav via the chain of command.

- If a resignation has been tendered, all forwarding activities in the chain of command make a recommendation as to whether the resignation should or should not be accepted.
- Should the officer concerned request a hearing to which he is entitled, the command to which he is attached will not forward the papers via the chain of command, but will send them direct to BuPers, notifying intermediate commands by copies of the letter.
- If BuPers determines that a hearing is warranted, the officer will be ordered to report to BuPers for that purpose. The Chief of Naval Personnel may take or direct ANY action other than revocation of commission or acceptance of the officer's resignation. If CHNAVPERS foregoes action, the papers are sent to SecNav with his recommendation. SecNav will then take final action on the recommendation.

Termination of Women Officer's Commission

Women officers may have their commission terminated for the same reasons and by the same methods as for male officers. Additionally, SecNav may terminate the commission of a woman who:

- is the parent, by birth or adoption, of a child under the age of 18 years; or
- has personal custody of a child under the age of 18 years; or
- is the step parent of a child under the age of 18 years who is within the household of the woman for a period in excess of 30 days; or
- is pregnant. (If the pregnancy results in an abortion or still birth, the woman may submit a request for cancellation of her separation orders)

Presently, termination of a woman officer's commission due to any of the above circumstances are handled on a case-by-case basis in accordance with BuPers Notice 1900 series.

DROPPING FROM THE ROLLS

It has happened on occasion that enlisted men have gone over the hill, remained AWOL for many months, finally returned to naval jurisdiction, and after completing their punishment, have remained in the Navy after a retraining period to serve well, and, but for this one mistake, honorably.

An officer doesn't usually get a second chance for an offense either of this type or for a major civil offense.

The Secretary of the Navy, acting for the President, is authorized to drop from the rolls at any time an officer who has been absent from his place of duty for 3 months or who has been finally sentenced to a period of confinement in a penitentiary or correctional institution as a result of conviction by the civil authorities. There is no elaboration on the type of offense or the length of the confinement awarded. The decision to drop rests wholly with SecNav.

Dropping from the rolls is normally done by letter, setting forth the findings in the case as determined by BuPers and telling the member that he is thereby dropped from the rolls as a result of those findings. This letter effects complete severance from the service. The officer is not entitled to a trial. No certificate of discharge is issued.

This form of separation is not referred to as either under honorable conditions or under conditions other than honorable. It may be compared to an enlisted undesirable discharge.

DISMISSAL

Except in time of war, dismissal from the service is done only as the result of sentence by general court-martial. When the sentence includes dismissal and SecNav approves the action, JAG's office notifies the officer concerned by letter that he is thereby dismissed from the service.

In time of war SecNav, acting for the President, may dismiss an officer without court-martial. As distinguished from being dropped

from the rolls, such an officer may make written application for trial by court-martial on the charges on which he was dismissed. If tried and convicted of those charges, however, the officer would probably still be dismissed and wind up doing time besides. If he is found guilty, the court will usually affirm the dismissal as part of the sentence. If not found guilty, or if the sentence does not include the dismissal or death, SecNav substitutes an administrative discharge for the dismissal order. If no court is convened to try the dismissed officer within 6 months of his application, an administrative discharge replaces the dismissal.

Dismissal from the service is equivalent to a dishonorable discharge and is the lowest type of separation an officer can receive.

REVERSION TO ENLISTED GRADE

Temporary officers who have a permanent enlisted status may revert to their former grade under certain conditions. As an example, a temporary officer who has failed to be promoted after two promotion cycles, will, if the needs of the Navy dictate, be given the option of retirement if he is within two years of retirement, or he may revert to his permanent enlisted status. If the officer has more than two years to serve before becoming eligible for retirement, he is normally reverted to his permanent status by 30 June of the fiscal year he failed promotion for the second time.

Since there are for permanent, unlike temporary, officers laws which govern retirement after completion of 30 years service, appointments of temporary officers are normally terminated and they can either retire or revert to their permanent enlisted status.

INTERSERVICE TRANSFER

Occasionally an officer feels he may gain more professional and personal satisfaction in another branch of the Armed Forces. Since this is true in some cases, provisions have been made whereby an officer may, at the discretion of the Secretary of the Navy, be transfered from one branch to another branch of the services.

Interservice transfers provide that an officer may transfer from the reserve component of one service to the reserve component of a sister service. The same holds true concerning the regular components. Interservice transfers are not authorized from a reserve to a regular component, or regular to a reserve component.

This type of transfer, if approved by SecNav, is a form of total separation, since the commission of an officer in the Navy must be terminated the day prior to his acceptance of a commission in a sister service.

The records of an officer who has been approved for interservice transfer are closed and forwarded in the following manner:

- Health Record forwarded to the Chief, Bureau of Medicine and Surgery.
- Service Record brought up-to-date and given to the officer.

FLEET RESERVE

The Fleet Reserve is composed of members who have served in the Regular Navy and the Navy Reserve and who may be recalled to active duty without additional training in the event of a national emergency or war.

Personnel who have completed 19 years and 6 months of active service may submit a request (Application for Transfer to the Fleet Reserve (NavPers 630)), for transfer to the Fleet Reserve at least 6 months prior to the desired date of transfer. Personnel who have sufficient service for transfer to the Fleet Reserve, and who hold orders to a new duty station but do not desire to carry the orders out must notify the Chief of Naval Personnel by message within 10 days after receiving the orders, and at the same time request a transfer date to the Fleet Reserve which is within 3 months from the date of their PCS orders.

When computing service for the purpose of transfer to the Fleet Reserve, apply the following:

- An enlistment or extention of enlistment terminated within 3 months of expiration is counted as a completed enlistment.
- A completed minority enlistment is counted as 4 years of active service.
- A part of a year that is 6 months or more is counted as a whole year.

A Fleet Reservist who is recalled to active duty and appointed as a temporary officer may be returned to inactive status in the highest grade satisfactorily held. An officer in this category may have his retainer pay recomputed upon completion of 30 years service or when he is placed on the retired list.

An effective date of transfer to the Fleet Reserve may be held in abeyance if the member is in any of the following circumstances:

- In a disciplinary status
- Serving a sentence of a court-martial
- Awaiting civil action
- Awaiting an administrative discharge
- Undergoing pay checkage on date of transfer
- Under medical treatment (Member must signify his consent by signing a page 13 entry)

An approved transfer to the Fleet Reserve may not be held in abeyance in excess of 120 days beyond the date authorized by BuPers without the commanding officer making a full report and requesting instructions from BuPers. The commanding officer does have the perogative, if circumstances warrant, to defer transfer of an individual to the Fleet Reserve up to 30 days after the authorized date. He must, however, make a full report of the circumstances to BuPers.

Transfer of a person to the Fleet Reserve means you will close out his record and open a Fleet Reserve record which will be kept by the Commanding Officer, Naval Reserve Manpower Center, Bainbridge, Maryland.

A Fleet Reservist is required to:

- be ready for active service in time of war or national emergency
- keep the Commanding Officer, Naval Reserve Manpower Center, informed of his current address
- inform the Commanding Officer, Naval Reserve Manpower Center, if he plans to reside outside of CONUS in excess of 30 days
- promptly answer all official correspondence
- make known to proper authority any change in health that may prevent him from performing active duty
- subject himself to all laws, regulations, and orders governing the Navy
- perform no more than 2 months active duty each 4-year period if so ordered
- be physically examined at least once every 4 years

Once in the Fleet Reserve, you are entitled to medical and dental care. Although excluded from dental care, except in remote areas, your dependents are also entitled to medical care. Fleet Reservists are eligible for hospitalization in a Veterans' Administration Hospital.

Retainer pay is computed on the bases of 2½ percent of base pay times the number of years service for pay purposes. In other words, a person retiring on 18 years for pay purposes, would figure his retirement pay by taking 2½% of his base pay and multiplying that figure by 18 to arrive at his retainer pay.

Members of the Fleet Reserve are subject to the UCMJ and may not be discharged without their consent, except by sentence of a court-martial.

NAVAL RESERVE

The Naval Reserve consists of the:

- Ready Reserve (active) USNR-R
- Standby Reserve (active) USNR-S1
- Standby Reserve (Inactive) USNR-S2
- Retired Reserve

The primary reason for assigning an individual to one of the listed categories is to ensure that a readily available pool of personnel can be called to active duty in time of war or national emergency.

Upon appointment, enlistment, release from active duty (other than temporary active duty for training), Naval Reserve members are automatically placed in the Ready Reserve. They remain in the Ready Reserve until such time as their transfer or discharge is effected, unless orders to active duty or release from active duty direct otherwise. At such time as a person has completed his military obligation (presently 6

years) he may accept a discharge, or execute an agreement to remain in the Ready Reserve.

An officer desiring to remain in the Ready Reserve must request approval from BuPers. If approved by BuPers, he may remain in the Ready Reserve for no less than 1 year or for an indefinite period. Enlisted personnel must obligate themselves for a minimum of 1 year.

The Standby Reserve-Active, consists of those members who have been determined eligible for active duty in time of war or national emergency by the Director of Selective Service.

Personnel in the Standby Reserve-Inactive are subject to active duty only in time of war or national emergency as determined by SecNav and approved by SecDef. They may be called to active duty only after Reservists in an active duty status have been exhausted.

The Retired Reserve includes those members who retire with or without pay. They are subject to active duty in the same manner as the personnel in the Standby Reserve Inactive status are. Reserve personnel who are eligible for retirement submit their request to BuPers via their unit CO and District Commandant. Those who are not affiliated with a reserve unit forward their request for retirement via the CO, Naval Reserve Manpower Center.

EARLY RELEASE

Reserve officers who are on active duty for the purpose of fulfilling their military obligation may submit a request to BuPers for early separation.

There are various reasons for this type of request. One officer may desire early release for timely school enrollment, whereas, another may do so because of a personal hardship. Requests for early release under any circumstance must be accompanied by documented evidence to substantiate the reason for the request.

Some of the reasons for which early separation is not authorized are:

- attendance at night school
- summer school (part time sessions)
- part time schools
- trade schools
- courses which prepare one for a hobby
- the officer is serving a period of active duty in return for schooling received after his commission

Release of an officer to inactive duty varies from time to time and as the needs of the service dictate. Therefore, you should consult the lastest instructions and notices for up-to-date requirements.

DISCHARGE CERTIFICATES

An officer who is not dismissed or dropped from the rolls may submit a resignation and receive one of the following types of discharge:

- Honorable – based on the acceptance of an unqualified resignation, or other total separation when the character of service is fully honorable.
- General – based on the acceptance of a qualified resignation, or other total separation when the character of service is not fully honorable, but not dishonorable.
- Discharge under conditions other than honorable – based on acceptance of a resignation for the good of the service, sometimes to escape trial by court-martial, or other total separation wherein the character of service is dishonorable.

Discharge certificates are issued by the Navy Department for Warrant and Commissioned Officers. They are never issued by a ship or station.

SEVERANCE PAY

The officer personnel act of 1947 provides that permanent lieutenants and lieutenants junior grade who twice fail of selection for promotion will be honorably discharged on 30 June in the fiscal year they fail of promotion for the second time. These officers, except those discharged for unsatisfactory service, are permitted to resign. If the resignation is accepted they may apply for enlistment if otherwise qualified.

ELIGIBILITY

Dependent upon an individual's prior permanent status, a permanent officer, Chief Warrant, or warrant officer may be enlisted in pay grade E-7 and also be considered for appointment to W-1 or W-2 at a later date. All other officers who resign their commission and forfeit severance pay may apply for enlistment, however, if accepted, they will be enlisted in a pay grade no higher than E-3 unless directed otherwise by BuPers. If enlistment is authorized, it may be effected within three months of the effective date of resignation.

COMPUTATION

Lieutenants and lieutenants junior grade receive a lump-sum severance pay based on 2 months' pay for each year of commissioned service. This pay is not to exceed 2 years' active duty pay, or $15,000, whichever is less. Severance pay for an ensign is computed on the same bases, however, payment must not exceed 1 years' active duty pay.

Remember, severance pay applies only to permanent officers, since those officers who hold a temporary commission and twice fail selection, will normally retire or revert to their permanent status of warrant or enlisted grade.

ORDERS FOR SEPARATION

Separation orders for discharge, retirement, or release to inactive duty are normally issued by SecNav or BuPers. Specific types of orders may be issued in the field, but only with auth rization from the Chief of Naval Personnel. All orders issued to officers by field commands should reference the authorization from the Chief of Naval Personnel to issue orders. Lists of authorized order issuing commands are published in Instructions and Notices in the Directives System.

Endorsements will vary depending on whether an officer holds a permanent or a temporary appointment, whether the separation is total or only release from active duty, etc. All should contain:

- a statement signed by a medical officer to the effect that the officer has been examined and found physically qualified for separation, and
- the date and time of detachment and final separation.

Figure 6-1, orders originated by BUPERS (SecNav), are orders directing total separation of LT Wagner as a result of his failing selection for the second time. Figure 6-2 indicates that LT Wagner is being transferred from the USS CHARLESTON (LKA-113) to the Receiving Station, Norfolk, Virginia for total separation. Figure 6-3 shows the completed endorsement of arrival at Norfolk, and figure 6-4 is the final separation (discharge) endorsement which totally separates LT Wagner from the Navy.

You must use the JUMPS Field Procedures Handbook when completing items on the varibus NavComp Optical Character Recognition Forms. As is true in many instances, it is best not to rely on your memory, but rather utilize the guide provided for this purpose. As an example, by completing item 4 in figure 6-2 with an incorrect digit, (easily done), you are then transferring an individual from a ship/activity that does not exist, or at the least, is incorrect. This, of course, would cause confusion and unnecessary delay in the proper processing of the NavCompt OCR Forms.

476-36-8569/1100
PERS B1603A
25 FEB 1973

BUPERS ORDER 459888

LT THOMAS G. WAGNER, USN
USS CHARLESTON (LKA-13)

REF: (A) BUPERSMAN 3810260
(B) 10 USC 6382

ENCL: (1) HONORABLE DISCHARGE CERTIFICATE

WHEN DIRECTED IN MAR 1973, DETACHED DUTY IN TIME TO PERMIT COMPLETION SEPARATION PROCESSING NLT 20 MAR 73. IN ACCORDANCE REF (A), REPORT TO CO, NAVSTA, NORFOLK, VIRGINIA TEMDU CONNECTION SEPARATION PROCESSING. UPON COMPLETION AND WHEN DIRECTED DETACHED, BY DIRECTION OF THE PRESIDENT AND THE SECRETARY OF THE NAVY, AND PURSUANT TO THE PROVISIONS OF REF (B), YOU ARE HONORABLY DISCHARGED FROM THE U. S. NAVY EFFECTIVE AT 2400 ON DATE OF DETACHMENT FROM ACTIVITY AT WHICH SEPARATED.

ENTER IN ITEM 11C, DD FORM 214N:
(THESE ORDERS), 545

ACCTG DATA: N5F3 1731453 T 000022 A1 SF2/1/7/0 SF2476368569

LIST VI - ITEM 24; 154; 165; 167(A)-EIGHTEEN MONTHS

ALFRED VERONNEAU
VICE ADMIRAL, USN
CHIEF OF NAVAL PERSONNEL

COPY TO:
JACKET
PERS-B1605
B1103
B1603A
B1B1
H111
A13
C31

181.26(138F)

Figure 6-1.–Orders (Officer Separation).

NFC USE ONLY

3067

NFC USE ONLY

DETACHING (DEPARTING) ENDORSEMENT TO ORDERS (OFFICER-ENLISTED)

1. ORDER AUTH NO.	2. DATE OF ORDERS (YRMODA)	3. END. NO.	4. UNIT I.D. CODE	5. DETACHING A. HOUR	B. DATE (YRMODA)
459868	73FEB25	1	05844	1100	73MAR14

6. NAME (LAST, FIRST, MIDDLE INITIAL)	7. SSAN	8. GRADE
WAGNER, THOMAS G	476-36-8569	03

9. SERVICE NO.	10. UIC TO WHICH REPORTING	GROUP TRAVEL	11. NO. MEN PER ATTACHED LIST
	62686		

	12. PERMDY	13. TDY	14. TAD	15. FFT	16. FFA
MEMBER BEING DETACHED FOR		X			

	17. REG DUTY	18. INST	19. TREATMT	20. SEPTN	21. CONFMT	TRAHAB
NATURE OF DUTY				X		

23. PROSPECTIVE CM	24. OTHER DUTY	25. QTRS TERM FOR DEPNS ON DATE OF DETACHMENT

	26. DAYS DELAY (LV)	27. DAYS PROCD TIME	28. DAYS TVL TIME
WITH AUTHORIZED			01

	29. EMGNCY LV	30. SPCL LV	31. NO. DAYS	32. LV PERMDY STA AREA	33. LV OUTSIDE CONUS
MEMBER IS AUTHORIZED					

	34. READJMT	35. DSABLTY SEVRNC	36. SEVRNC	37. CONTRCANCLTN	38.
SEPARATION PAYMENTS AND REASON CODE					

39. OTHER	40. SEPTN CODE

41. DUE AT DISCHARGE	42. PERSONAL FUNDS	43. DISCH GRAT PAID

MAILING ADDRESS

44. STREET ADDRESS	45. CITY
2222 PARKVIEW LANE	PARK RIVER

46. STATE	47. ZIP CODE	48. COUNTRY
ND	27380	

49. REMARKS

PROPER COMPLETION OF THIS FORM AND ASSOCIATED FORMS IS DEPENDENT UPON YOUR STRICT COMPLIANCE WITH THE JUMPS FIELD PROCEDURES HANDBOOK (NAVSO P-3086).

50. AUTHENTICATING OFFICER'S SIGNATURE	51. TYPE AUTHENTICATING OFFICER'S NAME	
R. D. Morgan	R. D. MORGAN	
	52. GRADE	53. TITLE
	LCDR	ADMINISTRATIVE OFFICER

VALIDATION ERROR

NAVCOMPT FORM-OCR 3067 (4PT) (11-70)

2 - DISBURSING OFFICE COPY

181.22

Figure 6-2.—First Endorsement (Officer Separation).

NFC USE ONLY | 3068 | NFC USE ONLY

REPORTING (ARRIVAL) ENDORSEMENT TO ORDERS (OFFICER-ENLISTED)

1. ORDER AUTH. NO.	2. DATE OF ORDERS (YRMODA)	3. END. NO.	4. UNIT I.D. CODE	5. REPORTING A. HOUR	B. DATE (YRMODA)
459868	73FEB25	2	[illegible]	0800	73MAR15

6. NAME (LAST, FIRST, MIDDLE INITIAL)	7. SSAN	8. GRADE
WAGNER, THOMAS G	471-36-3569	03

9. SERVICE NO.	GROUP TRAVEL	10. NO. MEN PER ATTACHED LIST

	11. PERMDY	12. TDY	13. TAD	14. FFT	15. FFA
MEMBER REPORTING FOR		X			

	16. REG DUTY	17. INST	18. TREATMT	19. SEPTN	20. CONFMT	21. TRAHAB
NATURE OF DUTY				X		

22. PROSPECTIVE CM	23. OTHER DUTY	24. ESTIMATED PD OF TAD OR TDY A. MOS.	B. DAYS
		0	04

ORDERED TO	25. DIVING PAY BLT. NO.	26. HSTL FIRE AREA	27. COMBAT ZONE	28. OTHER

29. SUB INST STARTS (YRMODA)	30. AUTHD SEP RATS COMMENCING A. HOUR	B. DATE (YRMODA)	31. MESS NOT AVAILABLE
			X

32. QTRS NOT AVAILABLE TO MEMBER	33. QTRS ASSIGNED MBR & DEPNS	34. MEMBER NOT IN PER DIEM STATUS
X		

35. SHIPS MESS/QTRS CLOSED	SHIPS OVERHAUL SCHEDULED FOR	36. OVER 90 DAYS	37. 90 DAYS OR LESS

38. DAYS DELAY (LV)	39. DAYS PROCD TIME	40. DAYS TVL TIME	41. UNACCTD FOR DAYS
		03	

LEAVE	42. SPECIAL	43. TAD	44. EMGNCY	45. NO. OF DAYS	46. FROM (YRMODA)	47. TO (YRMODA)
	48. SPECIAL	49. TAD	50. EMGNCY	51. NO. OF DAYS	52. FROM (YRMODA)	53. TO (YRMODA)
	54. SPECIAL	55. TAD	56. EMGNCY	57. NO. OF DAYS	58. FROM (YRMODA)	59. TO (YRMODA)

MODE OF TRAVEL	60. DIRECTED CODE	61. AUTHORIZED CODE	62. USED CODE	63. MILEAGE IN US	DAYS TRAVEL OUTSIDE CONUS 64. TRANSOCEANIC	65. FOREIGN

66. REMARKS

"OPEN MESS IS NOT AVAILABLE."

67. SIGNATURE AND GRADE OF TRAVELER OR SENIOR IN CHARGE:

Thomas G Wagner LT

68. AUTHENTICATING OFFICER'S SIGNATURE	69. TYPE AUTHENTICATING OFFICER'S NAME	
W B Smith	MOTOR BOAT SMITH	
	70. GRADE	71. TITLE
	CDR	ADMINISTRATIVE OFFICER

VALIDATION ERROR

NAVCOMPT FORM-OCR 3068 (4 PT) (11-70)

2 -- DISBURSING OFFICE COPY

131.23

Figure 6-3.—Second Endorsement (Officer Separation).

NAVSTA, Norfolk, Va.
1321
20 MAR 1973

THIRD ENDORSEMENT on BuPers (SecNav) order number 45988 of 25 FEB 1973

From: Commanding Officer, Naval Station, Norfolk, Virginia
To: Lieutenant Thomas G. WAGNER, USN, 476-36-8569/1100

Subj: Discharge

1. Examined and found physically qualified for separation.

18 MAR 1973

MURLAN FROVARP, LCDR, MC, USN
Medical Officer

2. As verified by your Officers Leave Record (NavPers 601-8), your earned leave credit computed through the effective date of separation is forty-four (44) days.

3. Detached 0900, 20 March 1973. You will regard yourself released from all active duty effective at 2400 this date, at which time your discharge from the naval service is effective.

F. M. HAAS

Copy to:
BuPers (Officer Data Section Pers 1932)
Disbursing Officer (Retired Officer 3, all others 2)
Medical Officer
Cognizant Bureau (for Staff Corps, and Restricted Line Officers only)
Service Record

21.14(138F)

Figure 6-4.—Third Endorsement (Officer Separation).

CHAPTER 7

GENERAL COURTS-MARTIAL

INTRODUCTION

General courts-martial deal chiefly with the most serious offenses; they may award more severe punishment than the summary and special courts-martial. The steps of procedure remain essentially the same as with the special court-martial. A new subject which applies to the GCM only, **and which has not been previously covered in this rate training manual series is the pre-trial investigation. The following items are included in special and general courts-martial, but vary in scope as indicated:**

- Sentence – A general court-martial may award any sentence authorized for a special court-martial and has the additional authority to adjudge the penalty of death (when specifically authorized by the Code), dishonorable discharge, longer periods of confinement (up to and including life imprisonment), heavier forfeitures (up to and including forfeiture of ALL pay and allowances).
- Review – Upon completion of the review of a GCM by the convening authority, the record of proceedings is then subject to at least one more level of review (JAG), and in certain cases, two more: the Court of Military Review and the U.S. Court of Military Appeals.

The pretrial investigation, the general court-martial sentence, and the review procedure are discussed later in this chapter.

The standard forms referred to are available through normal supply channels.

To assist you in gaining a better picture of the mechanics of the UCMJ, it is highly recommended that you complete the Navy Correspondence Course, "Military Justice in the Navy," NavPers 10993-A. Keeping up-to-date with information published in the JAG Journal will also be helpful to you.

Although some of the tasks covered in this chapter are not your primary concern, you will be called upon to assist with many of them. Court procedures or court record errors are costly since an error may fail to protect the rights of the accused, or it may mean failure to bring the guilty party to justice. In order to prevent errors, you need a complete understanding of military court procedures and their purposes.

JURISDICTION

General courts-martial have power to try any person subject to the Uniform Code of Military Justice for any offense made punishable by the Code. These courts are empowered to try all cases–capital and noncapital. No offense for which a mandatory punishment is prescribed can be tried by a special court-martial if such punishment is beyond the power of a special court-martial to adjudge. A case of premeditated murder, for example, cannot be referred to a special court-martial for trial, because the penalty in event of conviction must be either death or imprisonment for life, neither of which may be awarded by the special court-martial. A GMC usually does not try minor cases. These should be tried before a lower court or handled by non-judicial punishment. Non-judicial punishment and each of the courts have their own field; while a summary court-martial cannot try a murder case since it is unable to award punishment commensurate with a finding of

guilty, a general court-martial would not try a case of routine unauthorized absence.

COMPOSITION OF THE COURT

General courts-martial consist of a military judge and at least five members. The military judge is not considered a member of the court. Any commissioned officer (including commissioned warrant officers) on active duty with the Armed Forces is eligible to serve on a court-martial. Any warrant officer on active duty with the Armed Forces is eligible to serve on general and special courts-martial for the trial of any person, other than a commissioned officer.

General courts-martial may consist of a military judge only, if before the court is assembled the accused, knowing the identity of the military judge and after consultation with defense counsel, requests in writing a court composed only of a military judge and the military judge approves.

PROVISION FOR ENLISTED MEMBERS

Any enlisted person on active duty with the Armed Forces who is not a member of the same unit as the accused is eligible to serve on general and special courts-martial for the trial of an enlisted person brought before such courts for trial. However, he may serve as a member of a court only if, prior to the assembling of such court, the accused personally has requested in writing that enlisted persons serve on it. After such a request, an enlisted person may not be tried by a general or special court-martial if the membership of enlisted persons does not comprise at least one-third of the total membership of the court, unless eligible enlisted personnel cannot be obtained of physical conditions or military exigencies. For example, when there are enlisted members, a total of 5 or 6 members present should include at least 2 enlisted members, while 7, 8, or 9 members should include at least 3 enlisted members. Where such persons cannot be obtained, the court may be assembled and the trial held without them, but the convening authority must make a detailed written statement, to be appended to the record, stating why they could not be obtained. For example, where the only enlisted men on duty at an isolated station or on board a ship at sea are members of the same unit as the accused and no other enlisted persons can be obtained without obvious injury to the service, the convening authority may, in his discretion, direct that the trial be held without enlisted members. (In the Navy, a "unit" is any organization for which a separate unit personnel diary is prepared.) Mere inconvenience is not a ground for proceeding with a trial without enlisted persons. The detailed statement appended to the record, stating that enlisted persons could not be obtained as members is subject to review when the record of trial is examined under Articles 65, 66, and 69 of the UCMJ.

GENERAL RULES OF ELIGIBILITY

When convening a court-martial, the convening authority should detail as members such persons as, in his opinion, are best qualified for the duty by reason of age, education, training, experience, length of service, and judicial temperament.

The UCMJ directs that when it can be avoided, no person is to be tried by a court-martial any member of which is junior to him in rank or grade.

No person is eligible to sit as a member of a GCM when he is the accuser, a witness for the prosecution, or has acted as investigating officer or counsel in the same case. If, as the case proceeds, it unexpectedly becomes necessary to call a member of the court as a witness for the prosecution, he is then excused from further duty as a member.

DUTIES OF MEMBERS

The senior member present at a trial is president of the court for that trial. He has the same duties, powers, and privileges as other members, and the following are some of his additional powers and duties:

- To consult with trial counsel to set the time and place of trial, and to prescribe the uniform to be worn;
- To administer oaths to counsel, and

- To speak for the court in announcing the findings and sentence.

The members of a court-martial hear the evidence, determine the guilt or innocence of the accused, and adjudge a proper sentence where the accused has been found guilty.

If a member who was previously absent or a newly detailed member enters, he is sworn, and an opportunity to challenge is given. After he is seated, the substance of all proceedings in this case and the recorded testimony of each witness is then read in the presence of the military judge, the accused, counsel, and the other members of the court.

THE MILITARY JUDGE

The term Military Judge applies to an official of both the special and the general court-martial whose duties include those of the former Law Officer plus others. His main qualifications and duties are discussed below.

QUALIFICATIONS AND ELIGIBILITY

He must be a commissioned officer of the armed forces who is a member of the bar of a Federal court, or a member of the highest court of a State of the United States, and who is certified to be qualified for such duty by the Judge Advocate General of the Navy.

He is not eligible to act as military judge in a case if he is the accuser, or a witness for the prosecution, or has acted as an investigating officer, or counsel in the same case. An officer who has served as a member should not be detailed as military judge for a rehearing or a new trial of the same case. Prior participation in the same case as convening authority, military judge, staff judge advocate, or legal officer to the convening authority may be a ground for challenge for cause.

He may be challenged for cause, but not peremptorily. Peremptory challenge does not require any reason or ground to be stated and is not disputed.

The military judge should not be changed during the progress of a trial, except for a good reason. He is present at all times during the trial of a case except when the court is closed to deliberate or vote. The military judge present at the conclusion of the proceedings authenticates the record of trial.

DUTIES

The military judge is responsible for the fair and orderly conduct of the proceedings. He does not vote upon findings of sentence, but does rule upon all challenges for cause, all questions of law and all interlocutory questions except the question of the mental responsibility of the accused, and he recesses or adjourns the court as appropriate. All rulings by the military judge are final.

After the court has voted on the findings, he may, at the request of the court, and in open session, assist in putting them in proper form. Before the court closes to vote upon a sentence, he advises as to the maximum punishment which may be imposed; i.e., the total which the court may impose for the offenses of which the accused stands convicted.

COUNSEL

Each general court-martial must have a trial counsel and a defense counsel, with such assistants as are deemed necessary by the convening authority. The terms "counsel," "trial counsel," and "defense counsel," should be interpreted to mean the detailed counsel named in the convening order. The term "individual counsel" refers to military counsel selected by the accused, or to civilian counsel provided by him, at his own expense.

QUALIFICATIONS AND ELIGIBILITY

Trial counsel and defense counsel detailed for a general court-martial must be of equivalent legal qualifications: each must be a judge advocate of the Army, Navy, Air Force, or Marine Corps or a law specialist of the Coast Guard, who is a graduate of an accredited law school or is a member of the bar of a Federal court or of the highest court of a State; or he must be a person who is a member of the bar of a Federal court or of the highest court of a State; and must be certified as competent to perform such duties by the Judge Advocate

General of the armed force of which he is a member.

Usually, as many assistant defense counsel as assistant trial counsel should be detailed, and officers detailed as such should have comparable military experience and legal qualifications. If the prosecution or defense in any general court-martial devolves upon an assistant counsel, such assistant counsel must be qualified in the sense of Article 27(b) of the Code.

A person who acted as investigating officer, military judge, or court member in a case may not act subsequently as trial counsel, assistant trial counsel, or unless expressly requested by the accused, as defense counsel or assistant defense counsel in the same case. A person who has acted for the prosecution may not act subsequently in the same case for the defense, nor may any person who has acted for the defense act in the same case for the prosecution. A person who has acted for the accused at a pretrial investigation or other proceedings involving the same general matter is ineligible to act thereafter for the prosecution. An accuser, unless expressly requested by the accused, may not act as defense counsel or assistant defense counsel in the same case.

DUTIES OF TRIAL COUNSEL

As in the case of a special court-martial, the trial counsel prosecutes in the name of the United States, and under the direction of the court, prepares the record of proceedings. His duties might be compared to those of a civil district attorney. As to each offense charged, the burden is on the prosecution to prove the guilt of the accused beyond a reasonable doubt. Of course, such burden of proof is relieved by a plea of guilty, where such plea is admissible. The many duties of the trial counsel vary widely from the time he is detailed through the preparation for trial; the trial itself; and the preparation, authentication, and disposition of the record of trial. Consequently, a partial listing of some of his more important duties and functions will be given after we have discussed trial procedures.

DUTIES OF DEFENSE COUNSEL

As in the case of a special court-martial, the accused is represented by a defense counsel. His duties are similar to those of counsel for a defendant in a civil court, with a few variations obviously due to the military aspects of a court-martial. He does his best, by ethical, respectable, and lawful means, to have the accused pronounced not guilty, regardless of his personal opinion in the matter. The DC informs the accused that he has been detailed to defend him, speaks for the accused in court, and protects his interests. He explains to the accused his general duties, and advises him of his right to be represented by individual counsel—civil counsel (if provided by the accused at his own expense), military (if reasonably available), or by the defense counsel detailed by the convening authority. If the accused prefers to select his own counsel, the detailed defense counsel and his assistant act as associate counsel if the accused so desires, otherwise they are excused.

In regard to his association with the accused prior to the trial, some of the duties of the defense counsel are:

- To advise him of his right to have enlisted membership on the court.
- To explain the meaning and effect of a plea of guilty.
- To advise him of his right to introduce evidence; to testify or to remain silent; if and after findings of guilty are announced, to make an unsworn statement and to introduce evidence as to matters in extenuation and mitigation; and to assert any proper defense or objection.

WHO MAY CONVENE

The authority to convene a general court-martial is vested in top echelon commands only. For example, the commanding officer of a ship is authorized to convene a special or summary court-martial. He does not have authority to convene a general court-martial, however, unless empowered by the President of the United States or the Secretary of the Navy.

Pursuant to Article 22(a) of the UCMJ, only the following are specifically authorized to convene general courts-martial for the Navy:

- The President of the United States.
- The Secretary of the Navy.
- The commander in chief of a fleet; the commanding officer of a naval station or larger shore activity of the Navy beyond the United States.
- Such other commanding officers as may be designated by the Secretary of the Navy; or
- Any other commanding officer in any of the Armed Forces when empowered by the President.

Section 0103 of the *JAG Manual* empowers additional Navy and Marine Corps commanders to convene general courts-martial. In general, they are the Chief of Naval Operations, the Commandant of the Marine Corps, and all other flag and general officers in command. Certain other commanders also are specifically empowered in the above Instruction, but it is suggested that the currently effective copy of the directive be consulted when such information is required.

PRETRIAL PROCEDURE

Assume that an offense of general court-martial gravity has been committed and a member of your activity is accused.

PRELIMINARY INQUIRY

Alleged offenses are usually brought to the attention of the commanding officer by means of NavPers Form 1626/7 (Report and Disposition of Offense(s). It is a standard form consolidating the mast report slip, preliminary inquiry report, and action of the CO, on one sheet suitable for filing in the Unit Punishment Book. You know how to prepare and complete a report slip, so for purposes of continuity in this particular case, NavPers 1626/7 has been completed and appears as figure 7-1 (front) and figure 7-2 (reverse). Non-judicial Punishment (Mast) procedures, which vary from command to command are covered in detail in YN 3 & 2, NavTra 10240-F.

A person accused of an offense normally tried by general court-martial may be ordered into confinement pending trial. This is not mandatory, however, the decision is left to the person who has the power to arrest or confine. When such accused is placed in confinement prior to trial, he should immediately be informed of the specific wrong of which he is accused and tried as soon as possible, or the charges must be dismissed and the accused released. If held for trial by GCM, the commanding officer must forward the charges and report of investigation to the officer exercising GCM jurisdiction within 8 days after the accused is arrested or confined, if practicable. If not forwarded within the 8 days, the commanding officer must report, in writing, the reasons for the delay. Copies of such written reports are included in the original and all copies of the record of trial. Unnecessary delay in the administration of justice and disposition of a case is a court-martial offense under the Code.

CHARGES AND SPECIFICATIONS

As a matter of practice, the officer conducting a preliminary inquiry on a serious offense usually completes the Charge Sheet (DD Form 458) through page 2, and delivers it with the preliminary inquiry report. Then, if the commanding officer orders a pretrial investigation, the Charge Sheet is available for the investigating officer's use. This formal written accusation, known as the charges and specifications, must be prepared before any accused is tried. The charge lists, by number, the article of the UCMJ which the accused man has allegedly violated. The specification identifies the accused and gives the details which form the violation—the where, the when, and perhaps the how. (See figs. 7-3 and 7-4.)

One of your primary duties as a legal Yeoman is the proper preparation of the charges and specifications. Courts-martial have been disapproved on review by higher authority because of faulty, or "fatally defective" specifications, even thouth the man has been convicted. The *MCM* contains forms to be used in drafting charges and specifications for almost every offense. These forms should not be changed.

REPORT AND DISPOSITION OF OFFENSE(S)
NAVPERS 1626/7 (6-69) (Formerly NAVPERS 2696) S/N-0106-079-0870

To: Commanding Officer, Naval Station, Washington, D.C. Date of Report: 22 December 1973

1. I hereby report the following named man for the offense(s) noted:

NAME OF ACCUSED	SERIAL NO.	SOCIAL SECURITY NO.	RATE/GRADE	BR. & CLASS	DIV/DEPT
WILLIAMS, Royl James		476-36-8569	SN	USN	X

PLACE OF OFFENSE(S)	DATE OF OFFENSE(S)
Naval Station Washington, D. C.	30 October 1973

DETAILS OF OFFENSE(S) *(Refer by article of UCMJ, if known. If unauthorized absence, give following info: time and date of commencement, whether over leave or liberty, time and date of apprehension or surrender and arrival on board, loss of ID card and/or liberty card, etc.):*

Violation of the Uniform Code of Military Justice, Article 85 -
Desertion with intent to remain away permanently
Unauthorized absence from 30 October 1973 to 21 December 1973, at which time
WILLIAMS was apprehended in Washington, D. C. by the U. S. Navy Shore Patrol.

NAME OF WITNESS	RATE/GRADE	DIV/DEPT	NAME OF WITNESS	RATE/GRADE	DIV/DEPT
HOOG, George A.	BMCS	AFP	SOUZA, Richard F.	LTJG	X
EMMONS, Ronald K.	BTC	AFP	VAILLANCOURT, Mickeal R.	LCDR	X
OBERLEE, Jerry L.	YNC	PERS			

MMCM, USN - CMAA
(Rate/Grade/Title of person submitting report)

A. J. Anderson
AMOS J. ANDERSON
(Signature of person submitting report)

I have been informed of the nature of the accusation(s) against me. I understand I do not have to answer any questions or make any statement regarding the offense(s) of which I am accused or suspected. However, I understand any statement made or questions answered by me may be used as evidence against me in event of trial by court-martial (Article 31, UCMJ).

Witness: E. J. CLIFFORD, ENS, USN
(Signature)

Acknowledged: Royl J. Williams
ROYL J. WILLIAMS
(Signature of Accused)

PRE-TRIAL RESTRAINT

☐ CONFINED FOR SAFEKEEPING

☐ NO RESTRICTIONS

☒ RESTRICTED: You are restricted to the limits of Naval Station, Washington, D. C. in lieu of arrest by order of the CO. Until your status as restricted man is terminated by the CO, you may not leave the restricted limits except with the express permission of the CO or XO. You have been informed of the times and place at which you are required to muster.

Donald (N) Johnson
DONALD (N) JOHNSON, CAPT, USN, Commanding
(Signature and title of person imposing restraint)

Royl J. Williams
ROYL J. WILLIAMS
(Signature of Accused)

INFORMATION CONCERNING ACCUSED

CURRENT ENL. DATE	EXPIRATION CURRENT ENL. DATE	TOTAL ACTIVE NAVAL SERVICE	TOTAL SERVICE ON BOARD	EDUCATION	GCT	AGE
19 JUN 1972	18 JUN 1976	1 Yr. 6 Mos.	1 Yr. 2 Mos.	10 Yrs.	41	19

MARITAL STATUS	NO. DEPENDENTS	CONTRIBUTION TO FAMILY OR QTRS ALLOWANCE (Amount required by law)	PAY PER MONTH (Including sea or foreign duty pay, if any)
Single	None	None	$333.60

RECORD OF PREVIOUS OFFENSE(S) *(Date, type, action taken, etc. Nonjudicial punishment incidents are to be included.)*

10 NOV 1972 - UA 4 hrs, 20 min. NJP: 10 days' restriction.
28 DEC 1972 - UA 3 das, 30 min. SCM: 30 days' restriction, and to forfeit $35.00.
14 APR 1973 - UA 6 hrs, 45 min. NJP: 14 days' restriction.

17.1.1

Figure 7-1.—Report and Disposition of Offense(s), NavPers 1626/7 (Front).

PRELIMINARY INQUIRY REPORT

From: Commanding Officer
Date: 23 December 1973

To: Lieutenant Kenneth D. HERMAN, USN

1. Transmitted herewith for preliminary inquiry and report by you, including, if appropriate in the interest of justice and discipline, the preferring of such charges as appear to you to be sustained by expected evidence.

REMARKS OF DIVISION OFFICER (Performance of duty, etc.)

WILLIAMS' work is adequate, however, he requires routine supervision.

NAME OF WITNESS	RATE/GRADE	DIV/DEPT	NAME OF WITNESS	RATE/GRADE	DIV/DEPT
HOOG, George A.	EMCS	AFP	SOUZA, Richard F.	LTJG	X
EMMONS, Ronald K.	BTC	AFP	VAILLANCOURT, Mickeal R.	LCDR	X

RECOMMENDATION AS TO DISPOSITION:

[X] REFER TO COURT MARTIAL FOR TRIAL OF ATTACHED CHARGES (Complete Charge Sheet (DD Form 458) through Page 2)

[ ] DISPOSE OF CASE AT MAST [ ] NO PUNITIVE ACTION NECESSARY OR DESIRABLE [ ] OTHER

COMMENT (Include data regarding availability of witnesses, summary of expected evidence, conflicts in evidence, if expected. Attach statements of witnesses, documentary evidence such as service record entries in GA cases, items of real evidence, etc.)

All witnesses listed will be available to testify.

K. D. Herman
KENNETH D. HERMAN
(Signature of Investigation Officer)

ACTION OF EXECUTIVE OFFICER

[ ] DISMISSED [X] REFERRED TO CAPTAIN'S MAST

D. C. SUTHERLAND

RIGHT TO DEMAND TRIAL BY COURT-MARTIAL
(Not applicable to persons attached to or embarked in a vessel)

I understand that nonjudicial punishment may not be imposed on me if, before the imposition of such punishment, I demand in lieu thereof trial by court-martial. I therefore (do) (do not) demand trial by court-martial.

WITNESS: DONALD (N) JOHNSON, CAPT, USN, Commanding

SIGNATURE OF CHARGED PERSON: ROYL J. WILLIAMS

ACTION OF COMMANDING OFFICER

[ ] DISMISSED
[ ] DISMISSED WITH WARNING (Not considered NJP)
[ ] ADMONITION: ORAL/IN WRITING
[ ] REPRIMAND: ORAL/IN WRITING
[ ] REST. TO _____ FOR ____ DAYS
[ ] REST. TO _____ FOR ____ DAYS WITH SUSP. FROM DUTY
[ ] FORFEITURE: TO FORFEIT $ _____ PAY PER MO. FOR ____ MO(S)
[ ] DETENTION: TO HAVE $ _____ PAY PER N.B. FOR (1, 2, 3) MO(S) DETAINED FOR ____ MO(S)
[ ] CONF. ON _____ 1, 2, OR 3 DAYS
[ ] CORRECTIONAL CUSTODY FOR ____ DAYS
[ ] REDUCTION TO NEXT INFERIOR PAY GRADE
[ ] REDUCTION TO PAY GRADE OF _____
[ ] EXTRA DUTIES FOR ____ DAYS
[ ] PUNISHMENT SUSPENDED FOR _____
[ ] RECOMMENDED FOR TRIAL BY GCM
[ ] AWARDED SPCM [X] AWARDED ~~XX~~ Pretrial Investigation

DATE OF MAST: 24 December 1973
DATE ACCUSED INFORMED OF ABOVE ACTION: 24 December 1973
SIGNATURE AND GRADE OF COMMANDING OFFICER: DONALD (N) JOHNSON

FINAL ADMINISTRATIVE ACTION

WHERE NJP INVOLVED, APPEAL RIGHTS EXPLAINED AND UNDERSTOOD: [ ] YES [ ] NO _____ (Initials)

APPEAL SUBMITTED BY ACCUSED DATED: No appeal
FORWARDED FOR DECISION ON _____

FINAL RESULT OF APPEAL: - - - - - - - - - -

APPROPRIATE ENTRIES MADE IN SERVICE RECORD AND PAY ACCOUNT ADJUSTED WHERE REQUIRED
DATE _____ _____ (Initials)

FILED IN UNIT PUNISHMENT BOOK
DATE 24 December 1973
D.(N)J. (Initials)

17.1.2

Figure 7-2.–Report and Disposition of Offense(s), NavPers 1626/7 (Reverse).

CHARGE SHEET

PLACE		DATE
Naval Station, Washington, D. C. 20390		26 December 1973
ACCUSED (Last name, First name, Middle initial) (List aliases when material)	SOCIAL SECURITY ACCOUNT NUMBER	GRADE OR RANK AND PAY GRADE
WILLIAMS, Royl J.	476-36-8569	Seaman E-3

ORGANIZATION AND ARMED FORCE (If the accused is not a member of any armed force, state other appropriate description showing that he is subject to military law)	DATE OF BIRTH	PAY PER MONTH
Naval Station Washington, D. C. 20390 U. S. Navy	25 February 1953	BASIC $333.60
	CONTRIBUTION TO FAMILY OR QUARTERS ALLOWANCE (MCM, 128h(3)) (If none, so state)	SEA OR FOREIGN DUTY $ None
	None	TOTAL $333.60

RECORD OF SERVICE

INITIAL DATE OF CURRENT SERVICE	TERM OF CURRENT SERVICE
19 June 1972	Four (04) years

PRIOR SERVICE: 00 YEARS 00 MONTHS 00 DAYS (As to each prior period of service, give inclusive dates of service and Armed Force, if available.)

DATA AS TO WITNESSES
(Summary Court Officer will line out and insert names as applicable (MCM, 79g) and initial changes)

NAME OF WITNESS	ADDRESS (Include ZIP Code)	WITNESSES FOR PROSECUTION	WITNESSES FOR ACCUSED
HOOG, George A. BMCS, USN	Armed Forces Police Detachment, Washington, D. C. 20390	X	
EMMONS, Ronald K. BTC, USN	Armed Forces Police Detachment, Washington, D. C. 20390	X	
OBERLEE, Jerry L. YNC, USN	Personnel Office, Naval Station, Washington, D. C. 20390	X	
SOUZA, Richard F. LTJG, USN	Personnel Department, Naval Station Washington, D. C. 20390	X	
VAILLANCOURT, Mickeal R. LCDR, USN	Personnel Department, Naval Station Washington, D. C. 20390	X	

DOCUMENTS AND OBJECTS

LIST AND DESCRIBE (If not attached to charges, note where it may be found)

Current service record of the accused in this case, WILLIAMS, Royl J., SN, USN.

DATA AS TO RESTRAINT

NATURE OF ANY RESTRAINT OF ACCUSED	DATE	LOCATION
Restricted	23 December 1973	Naval Station Washington, D. C. 20390

DD FORM 1 OCT 68 458 PREVIOUS EDITIONS ARE OBSOLETE. S/N 0102-004-8501

21.17.1

Figure 7-3.—Charge Sheet, DD Form 458, page 1.

Charge : Violation of the Uniform Code of Military Justice, Article 85

Specification In that Seaman Royl James Williams, U. S. Navy, Naval Station, Washington, District of Columbia, did, on or about 30 October 1973, without proper authority and with intent to remain away therefrom permanently, absent himself from his organization to wit: the said Naval Station, and did remain so absent in desertion until he was apprehended on or about 21 December 1973.

If this space is insufficient for all charges and specifications, they will be set forth numerically, front to back, on separate sheets attached to this page.

21.17.2

Figure 7-4.—Charge Sheet, DD Form 458, page 2.

Other words may sound more impressive, but the suggested forms should be used.

NUMBERING OF CHARGES AND SPECIFICATIONS

When there is more than one charge, the charges should be numbered, using the Roman numerals I, II, and so on. When there is more than one specification under a charge, the specifications under that charge are numbered, using the Arabic numerals 1, 2, and so on. Additional charges are numbered in the same manner. A single added charge is designated "Additional Charge," but if more than one, they are numbered "Additional Charge I" "Additional Charge II" and so on. Specifications under additional charges are designated as shown above. The term "Additional" is not used in connection with the specifications.

DRAFTING OF CHARGES

The charge should be appropriate to all specifications under it, and is written: "Violation of the Uniform Code of Military Justice, Article___" giving the number of the article.

DRAFTING OF SPECIFICATIONS

A specification should be brief but complete, and should contain the rate, name, activity, and organization of the accused (but not his service number); and the date and place where the offense was allegedly committed. The time and place of the commission of the offense charged should be stated in the specification with sufficient precision to identify the offense and enable the accused to understand the charge. Before drafting charges and specifications, the accuser should analyze the facts and refer to the pertinent paragraphs of *MCM*, in which appear

the elements of proof of various offenses, and examples of the forms of specifications. All elements of an offense should be included. Any intent, or state of mind such as guilty knowledge, expressly made an essential element of an offense, must be alleged. Thus, where appropriate, the offense should be alleged as having been committed knowingly, willfully, wrongfully, unlawfully, without authority, or dishonorably, and so on, as appropriate. One specification should not allege more than one offense. However, if two acts or a series of acts constitute one offense, they may be alleged together.

PERMISSIBLE ABBREVIATIONS

The abbreviations "U.S." and "USS" are permissible. Other abbreviations should not be used in specifications.

RULE OF PRINCIPALS

When a person is not accused of committing an offense himself but of being responsible for its commission as a principal under article 77 of the Code (for instance when he aided or counseled the perpetrator), he may be charged as though he himself had committed the offense.

TRIAL IN JOINDER

A joint offense is one committed by two or more persons acting together with the same intention. Offenders may be properly joined only if there is a common unlawful design or purpose. The fact that several persons have committed the same types of offenses at the same time does not necessarily establish the common purpose. In joint offenses, where the participants are members of the same armed force, they may be separately or jointly charged. The advantage of a joint charge is that all accused will be tried at one trial, thereby saving time, labor, and expense. However, this must be weighed against the possibility of unfairness to the accused which may result if their defenses are inconsistent or antagonistic. The decision as to how the persons concerned will be tried rests with the convening authority preferring the charges. The defense counsel may introduce a motion for appropriate relief of the accused by separate trial (motion to sever). The court may grant or deny the motion. Forms of specifications in joint offenses are shown in *MCM*.

CHARGES MUST BE SIGNED UNDER OATH

Once the charges and specifications have been prepared, they are signed and sworn to by the accuser before an officer authorized to administer oaths, and state that the signer has personal knowledge of, or has investigated the charges set forth, and that they are true in fact to the best of his knowledge and belief. The accuser must be a person subject to UCMJ. Usually, the CO has the officer who conducted the preliminary investigation sign the charges if the facts brought out by the investigation seem to justify doing so. (See fig. 7-5.)

INVESTIGATION

Before a general court-martial may try an accused, an investigation of the charges is made. The officer detailed to make such an investigation should be a mature officer, preferably of the grade of lieutenant commander or higher, or one with legal training and experience. An officer who has served as investigating officer may not later become military judge or a member either of the prosecution or the defense; nor should he be the accuser.

The purpose of the investigation is to inquire into the truth of the matters set forth in the charges, review the format of the charges, and obtain information upon which to determine the disposition to be made of the case. It is not the function of the investigating officer to prepare a case against the accused, but to weigh all available facts before arriving at his conclusions. While the investigation must be as brief as is consistent with thoroughness and fairness, the officer conducting the investigation is not limited to examining the witnesses and documentary evidence listed on the charge sheet or mentioned in the papers accompanying the charges. Rather, he should actively seek out any information which might have a bearing on the case. Thoroughness and impartiality are the

NAME, GRADE, AND ORGANIZATION OF ACCUSER
K. D. HERMAN, LT, USN
Naval Station, Washington, D. C. 20390

SIGNATURE
K. D. Herman

AFFIDAVIT

Before me, the undersigned, authorized by law to administer oaths in cases of this character, personally appeared the above-named accuser this 26th day of December, 1973, and signed the foregoing charges and specifications under oath that he is a person subject to the Uniform Code of Military Justice, and that he either has personal knowledge of or has investigated the matters set forth therein, and that the same are true in fact, to the best of his knowledge and belief.

CDR, USN, Naval Station,
Washington, D. C. 20390
GRADE AND ORGANIZATION OF OFFICER

J. C. Sutherland
SIGNATURE

Legal Officer
OFFICIAL CHARACTER, AS ADJUTANT, SUMMARY COURT, ETC. (MCM, 29a, and Article 30a and 136)

J. C. SUTHERLAND
TYPED NAME

Officer administering oath must be a commissioned officer.

26 December 1973
DATE

I have this date informed the accused of the charges against him (MCM, 32f(1)).

Donald (n) JOHNSON, CAPT,
Naval Station, Washington, D. C. 20390
NAME, GRADE, AND ORGANIZATION OF IMMEDIATE COMMANDER

Donald (n) Johnson
SIGNATURE

Naval Station
DESIGNATION OF COMMAND OF OFFICER EXERCISING SUMMARY COURT-MARTIAL JURISDICTION

Washington, D. C.
PLACE

4 January 1974
DATE

The sworn charges above were received at 1000 hours, this date (MCM, 33b).

FOR THE

Donald (n) JOHNSON, CAPT, Commanding
NAME, GRADE, AND OFFICIAL CAPACITY OF OFFICER SIGNING

Donald (n) Johnson
SIGNATURE

1ST INDORSEMENT

Naval District Washington
DESIGNATION OF COMMAND OF CONVENING AUTHORITY

Washington, D. C.
PLACE

4 January 1974
DATE

Referred for trial to the general court-martial appointed by my convening order 74-4 of

, 3 January 1974, subject to the following instructions:[2]

None

BY

COMMAND OR ORDER

George T. STARKEY, RADM, Commandant
NAME, GRADE, AND OFFICIAL CAPACITY OF OFFICER SIGNING

George T. Starkey
SIGNATURE

I have served a copy hereof on each of the above-named accused, this 6th day of January, 1974.

T. G. PARRISH, LT, USNR
Naval Station, Washington, D. C. 20390
NAME, GRADE, AND ORGANIZATION OF TRIAL COUNSEL

T. G. Parrish
SIGNATURE

[1] When an appropriate commander signs personally, inapplicable words are stricken out. [2] Relative to proper instructions which may be included in the indorsement of reference for trial, see MCM, 33d(1). If none, so state.

21.17.3

Figure 7-5.—Charge Sheet, DD Form 458, page 3.

objectives for which he strives. Recommendations of an investigating officer are advisory only.

The provisions of the *MCM* are intended primarily to indicate a proper procedure in the usual cases. Variations to meet the circumstances of other cases or exceptional or local conditions are permissible, and should be adopted, provided the spirit and purpose of the law are observed and carried out. Remember that every effort must be made to comply with the requirements of article 32 of the Code to prevent prejudice to the rights of the accused, which could require a delay in disposition of the case or disapproval of the proceedings. Similarly, a failure to comply with the provisions of article 31 of the Code, which deals with compulsory self-incrimination, may result in a miscarriage of justice.

The officer directed to make the investigation begins work as soon as possible after receiving the assignment, so that he may contact witnesses while the events in question are still fresh in mind.

ADVISING THE ACCUSED

At the commencement of the investigation, the accused is informed of the following:

- The offense with which he is charged.
- Name of his accuser, and of the witnesses against him.
- The fact that charges against him are about to be investigated.
- His right to be represented by civilian legal counsel or military counsel certified under Article 27(b), UCMJ.
- His right to cross-examine witnesses against him.
- His right to present facts in his own behalf, in defense, extenuation, or mitigation.
- His right to have the investigating officer examine the witnesses requested by him.
- His right to make a statement or not to make a statement (any statement he may make may be used against him later in the event of his trial by court-martial).

COUNSEL

If the accused requests that he be represented by qualified counsel, the officer referring the charges for investigation takes whatever steps are necessary to provide such counsel. The request of the accused for civilian counsel (at his own expense), or military counsel of his own selection (if reasonably available) should goverr where precticable, as long as the investigation will not be unduly delayed. If delay might result, pretriál counsel may be detailed. It would also be proper for a general court-martial convening authority to designate as pretrial counsel the regularly detailed defense counsel and assistant defense counsel of the GCM convened to set at a particular station. For additional particulars, the *MCM* should be consulted.

WITNESSES

All available witnesses, including those requested by the accused, are called and examined in the presence of the accused (and his counsel, if any). There is no provision for compelling the attendance of witnesses not subject to military jurisdiction, nor is there provision for paying compensation to any witness at a pretrial investigation.

Witnesses should be examined on oath or affirmation, and where possible, sign and swear to the truth of the substance of their statements after they have been reduced to writing.

INFORMAL REPORT

Should the investigating officer feel that the charges which he has investigated will not merit trial by general court-martial, he, in the absence of contrary directions, prepares an informal report of his investigation. This informal report is submitted to the officer who ordered the investigation and may be made orally or by a brief memorandum, endorsement, notations on the charge sheet, or other suitable method. "Must" items in the informal report are the first, second, fourth, and sixth items of the formal report enumerated below, plus sources of material evidence considered by the investigating

officer which were not shown in the papers first received by him.

FORMAL REPORT

If, upon completion of the investigation, the investigating officer feels that trial by general court-martial is warranted, he prepares an Investigating Officer's Report (DD Form 457) in triplicate, and forwards it to the officer who ordered the investigation. Figures 7-6 through 7-9 illustrate the preparation of this report. In this particular investigation, the investigating officer had no remarks to enter on page 4.

If the investigating officer so desires, he may submit a formal report by endorsement or letter instead of using DD Form 457, as long as the required items of information are covered. Briefly, the items are:

- A statement identifying counsel, if any, and information as to the presence or absence of counsel in those cases where counsel has been requested by the accused.
- A statement as to the substance of the testimony taken on both sides, including any stipulated testimony.
- Any other statements, documents, or matters considered by him in reaching his conclusions, or making his recommendations, or mention of the substance or nature of such items.
- A statement of any reasonable grounds for the belief that the accused is, or was at the time of the offense, mentally defective, deranged, or abnormal.
- A statement as to whether essential witnesses will be available in the event of trial. If essential witnesses will not be available, the reasons for nonavailability should be stated.
- The recommendation of the investigating officer as to what disposition should be made of the case.

Upon receipt of the formal report of investigation, the officer who ordered the investigation sends the report, along with the charges, to the officer exercising general court-martial jurisdiction.

EFFECT OF PRIOR INVESTIGATION

If an investigation of the subject matter of an offense was conducted by means of a court of inquiry prior to the time the accused was charged with the offense, and if the accused was present at the investigation and was afforded his rights, no further investigation of that charge is necessary unless demanded by the accused after he is informed of the charge. Such demand for further investigation entitles the accused to recall witnesses for further cross-examination and to offer any new evidence in his own behalf.

ACTION OF CONVENING AUTHORITY

Once the charges have been received by the GCM convening authority, they are referred by him to his staff judge advocate or legal officer for consideration and advice. A charge is not referred to a GCM for trial unless it is determined that the charge alleges an offense under the Code and is warranted by evidence indicated in the report of investigation. The staff judge advocate or legal officer submits a written statement and includes a recommendation of the action to be taken by the convening authority. Such recommendation accompanies the charges if they are referred for trial. The convening authority communicates directly with that officer in matters relating to the administration of military justice.

After receiving this advice, the officer with GCM jurisdiction may then do any one of the following:

- Convene a general court-martial to try the case.
- Authorize, where more suitable, trial by an inferior court-martial.
- Impose nonjudicial punishment if the accused is a member of his command.
- Take any action on the charges which he or the immediate commander of the accused is authorized to take, including dismissal of all or part of the charges.
- Return the charges and allied papers to a proper subordinate commander with the instruction that appropriate action be taken by him.

INVESTIGATING OFFICER'S REPORT
(Of charges under the provisions of Article 32, Uniform Code of Military Justice, and paragraph 34, Manual for Courts-Martial, U.S., 1951)

INDORSEMENT

FROM: *(Grade, name and organization of investigating officer)* Lieutenant Kenneth D. HERMAN, USN, Naval Station, Washington, D. C. — DATE OF REPORT: 26 December 1973

TO: *(Title and organization of officer who directed report to be made)* Commanding Officer, Naval Station, Washington, D. C.

GRADE AND NAME OF ACCUSED	SSAN	ORGANIZATION	DATE OF CHARGES
SN Royl James WILLIAMS	476-36-8569	Naval Station Washington, D. C.	26 December 1973

(Check appropriate answer)	YES	NO
1. IN ACCORDANCE WITH THE PROVISIONS OF ARTICLE 32, UNIFORM CODE OF MILITARY JUSTICE, AND PARAGRAPH 34, MANUAL FOR COURTS-MARTIAL, 1951, I HAVE INVESTIGATED THE CHARGES *(Exhibit 1)* APPENDED HERETO. *(If, and as soon as, it is determined the accused elects not to be represented by counsel or by qualified counsel during the investigation, the investigating officer will complete in ink items 1 through 4, except 4f, and will ask the accused to sign item 4e.)*	X	
2. AT THE OUTSET OF THE INVESTIGATION I READ TO THE ACCUSED THE PROVISIONS OF ARTICLE 31, UNIFORM CODE OF MILITARY JUSTICE, AND ALSO ADVISED HIM:	X	
a. OF THE NATURE OF THE OFFENSE(S) CHARGED AGAINST HIM	X	
b. OF THE NAME OF THE ACCUSER	X	
c. OF THE NAMES OF THE WITNESSES AGAINST HIM SO FAR AS KNOWN BY ME.	X	
d. THAT THE CHARGES WERE ABOUT TO BE INVESTIGATED BY ME	X	
e. OF HIS RIGHT, UPON HIS REQUEST, TO HAVE COUNSEL REPRESENT HIM AT THE INVESTIGATION, EITHER--	X	
(1) CIVILIAN COUNSEL, IF PROVIDED BY HIM, OR	X	
(2) MILITARY COUNSEL OF HIS OWN SELECTION, IF SUCH COUNSEL IS REASONABLY AVAILABLE, OR	X	
(3) COUNSEL, QUALIFIED UNDER ARTICLE 27(b), APPOINTED BY THE OFFICER EXERCISING GENERAL COURT-MARTIAL JURISDICTION	X	
f. OF HIS RIGHT TO CROSS-EXAMINE ALL AVAILABLE WITNESSES AGAINST HIM	X	
g. OF HIS RIGHT TO PRESENT ANYTHING HE MIGHT DESIRE IN HIS OWN BEHALF, EITHER IN DEFENSE OR MITIGATION	X	
h. OF HIS RIGHT TO HAVE THE INVESTIGATING OFFICER EXAMINE AVAILABLE WITNESSES REQUESTED BY HIM	X	
i. OF HIS RIGHT TO MAKE A STATEMENT IN ANY FORM	X	
j. OF HIS RIGHT TO REMAIN SILENT OR TO REFUSE TO MAKE ANY STATEMENT REGARDING ANY OFFENSE OF WHICH HE WAS ACCUSED OR CONCERNING WHICH HE IS BEING INVESTIGATED	X	
k. THAT ANY STATEMENT MADE BY HIM MIGHT BE USED AS EVIDENCE AGAINST HIM IN A TRIAL BY COURT-MARTIAL	X	
3. a. THE ACCUSED REQUESTED MILITARY COUNSEL BY NAME	X	
b. NAME AND GRADE OF SUCH COUNSEL: Lieutenant Jose (N) GALITO, USN — ORGANIZATION: Naval Station, Washington, D. C.		
c. MILITARY COUNSEL REQUESTED BY NAME WAS QUALIFIED WITHIN THE MEANING OF ARTICLE 27(B), UNIFORM CODE OF MILITARY JUSTICE	X	
d. IF ANSWER TO PRECEDING ITEM WAS "NO", ACCUSED WAS INFORMED THAT SUCH UNQUALIFIED COUNSEL MAY NOT REPRESENT HIM AT ANY GENERAL COURT-MARTIAL		
e. MILITARY COUNSEL REQUESTED BY NAME WAS REASONABLY AVAILABLE. *(If not available, explain in item 18, having reference to paragraph 34c, Manual for Courts-Martial, 1951, page 46)*	X	
f. THE ACCUSED STATED HE WOULD BE REPRESENTED BY CIVILIAN COUNSEL		X
g. NAME AND ADDRESS OF SUCH COUNSEL — MEMBER OF THE BAR OF		
h. *(This item to be used by accused's civilian counsel only)* _____ *Place and date* I HEREBY ENTER MY APPEARANCE FOR THE ABOVE-NAMED ACCUSED AND REPRESENT THAT I AM A MEMBER OF THE BAR OF _____ _____ *(Signature of Counsel)*		
4. a. THE ACCUSED REQUESTED THAT COUNSEL BE APPOINTED BY THE GENERAL COURT-MARTIAL AUTHORITY TO REPRESENT HIM		X
b. NAME AND GRADE OF SUCH APPOINTED COUNSEL — ORGANIZATION		
c. APPOINTED COUNSEL *(as in h above)* WAS QUALIFIED WITHIN THE MEANING OF ARTICLE 27(B), UNIFORM CODE OF MILITARY JUSTICE		
d. IF ANSWER TO PRECEDING ITEM (4c) IS "NO", ACCUSED SPECIFICALLY WAIVED COUNSEL WITH SUCH QUALIFICATIONS		
e. *(To be signed by accused if answer to 3a and 4a, or 3c, or 4c was "NO". If accused fails to sign, investigating officer will explain circumstances in detail in item 18)* _____ *Date* I HAVE BEEN INFORMED OF MY RIGHT TO REPRESENTATION AT THE INVESTIGATION BY COUNSEL QUALIFIED UNDER ARTICLE 27(B), UNIFORM CODE OF MILITARY JUSTICE. I HEREBY WAIVE MY RIGHT TO (SUCH QUALIFIED COUNSEL) (COUNSEL). _____ *(Signature of Accused)*		

NOTE: If additional space is required for any item, enter the additional material on a separate sheet. Be sure to identify such material with the proper numerical and, when appropriate, lettered heading *(Example, "3c")*. *Securely attach any additional sheet to the form and add a note in the appropriate item of the form: "See additional sheet." Any matters considered pursuant to paragraph 34, MCM, 1951, which are not identifiable with some other heading in the form should be entered in item 18.*

DD FORM 1 JUN 59 457 PREVIOUS EDITIONS OF THIS FORM ARE OBSOLETE.

21.31.1

Figure 7-6.—Investigating Officer's Report, DD Form 457, page 1.

(Check appropriate answer continued)	YES	NO
f. (COUNSEL FOR THE ACCUSED WAS PRESENT THROUGHOUT THE INVESTIGATION (If the accused waives the right to have counsel present throughout all or a part of the investigation after having requested counsel, state the circumstances and the particular proceedings conducted in the absence of such counsel)	X	
g. a. IN THE PRESENCE OF THE ACCUSED I HAVE INTERROGATED ALL AVAILABLE WITNESSES UNDER OATH OR AFFIRMATION AND HAVE EXAMINED ALL DOCUMENTARY EVIDENCE ON BOTH SIDES.	X	
b. I HAVE REDUCED THE MATERIAL TESTIMONY GIVEN BY EACH SUCH WITNESS UNDER DIRECT AND CROSS-EXAMINATION TO A SWORN OR AFFIRMED WRITTEN STATEMENT EMBODYING THE SUBSTANCE OF THE TESTIMONY TAKEN ON BOTH SIDES.	X	
c. THE SWORN OR AFFIRMED WRITTEN STATEMENTS OF SUCH WITNESSES ARE APPENDED HERETO AS INDICATED.	X	

NAME AND GRADE OF WITNESSES WHO WERE PRESENT	ORGANIZATION OR ADDRESS	EXHIBIT NUMBER
HOOG, George A. BMCS, USN	Armed Forces Police Detachment,	2
EMMONS, Ronald K. BTC, USN	Washington, D. C.	3
OBERLEE, Jerry L. YNC, USN	Personnel Department,	4
SOUZA, Richard F. LTJG, USN	Navel Station,	5
VAILLANCOURT, Mickeal R. LCDR, USN	Washington, D. C.	6

h. a. THE SUBSTANCE OF THE EXPECTED TESTIMONY OF EACH OF THE FOLLOWING ABSENT WITNESSES WHOSE PRESENCE WAS NOT REQUESTED BY THE ACCUSED, OR WHO, HAVING BEEN REQUESTED, WERE NOT AVAILABLE, OR FOR WHOM THE REQUEST WAS WITHDRAWN, WAS OBTAINED FROM SUCH WITNESSES IN THE FORM OF A SWORN OR AFFIRMED WRITTEN STATEMENT, OR WAS STIPULATED TO BY THE ACCUSED IN WRITING. SUCH STATEMENTS OR STIPULATIONS ARE APPENDED HERETO AS INDICATED.		X

NAME AND GRADE OF ABSENT WITNESSES	ORGANIZATION OR ADDRESS	EXHIBIT NUMBER
None		

b. A COPY OF EACH SUCH WRITTEN STATEMENT HAS BEEN SHOWN TO THE ACCUSED.	X	
c. IF AN ABSENT WITNESS IS REQUESTED BY THE ACCUSED BUT IS NOT AVAILABLE, ENTER A PROPER EXPLANATION. None		

7. a. THE FOLLOWING DOCUMENTS HAVE BEEN EXAMINED, SHOWN TO THE ACCUSED, AND ARE APPENDED AS INDICATED (describe documents)	EXHIBIT NUMBER
Service Record Page 13, Administrative Remarks, dtd 30 October 1973	7
Service Record Page 13, Administrative Remarks, dtd 2 November 1973	8
Service Record Page 13, Administrative Remarks, dtd 29 November 1973	9

b. IF ANY DOCUMENTS MADE AVAILABLE TO THE INVESTIGATING OFFICER WERE NOT EXAMINED OR WERE EXAMINED BUT NOT SHOWN TO THE ACCUSED, OR WERE EXAMINED BUT ARE NOT APPENDED, STATE THE REASONS. None	

8. a. THE FOLLOWING DESCRIBED REAL EVIDENCE WAS EXAMINED, SHOWN TO THE ACCUSED, AND IS NOW PRESERVED FOR SAFEKEEPING AS INDICATED: None	X
b. IF CERTAIN REAL EVIDENCE WHICH WAS EXAMINED WAS NOT SHOWN TO THE ACCUSED, STATE THE REASONS. None	

21.31.2

Figure 7-7.—Investigating Officer's Report, DD Form 457, page 2.

(Check appropriate answer continued)	YES	NO
9. THE ACCUSED AFTER HAVING BEEN INFORMED OF HIS RIGHT TO MAKE A STATEMENT OR REMAIN SILENT:		
a. STATED THAT HE DID NOT DESIRE TO MAKE A STATEMENT	X	
b. MADE A STATEMENT APPENDED HERETO (Exhibit).		X
c. THE CIRCUMSTANCES OF THE TAKING OF ANY CONFESSION OR ADMISSION OF ACCUSED WERE INQUIRED INTO BY ME AND SUCH CONFESSION OR ADMISSION APPEARS TO HAVE BEEN OBTAINED IN ACCORDANCE WITH ARTICLE 31, UNIFORM CODE OF MILITARY JUSTICE, AND/OR THE 5TH AMENDMENT. (Where appropriate, attach statement of person taking confession or admission showing circumstances of taking)		
d. THE ACCUSED, AFTER BEING ADVISED THAT HE DID NOT HAVE TO MAKE ANY STATEMENT WITH RESPECT TO IT, WAS SHOWN THE CONFESSION OR ADMISSION AND DID NOT CONTEST IT AS BEING NOT IN COMPLIANCE WITH ARTICLE 31, UNIFORM CODE OF MILITARY JUSTICE. (If the confession or admission was contested, attach accused's explanation of the circumstances.)		
10. a. THERE WERE REASONABLE GROUNDS FOR INQUIRING INTO THE MENTAL RESPONSIBILITY OF THE ACCUSED AT THE TIME OF THE ALLEGED OFFENSE (MCM, 120b)		X
b. THERE WERE REASONABLE GROUNDS FOR INQUIRING INTO THE MENTAL CAPACITY OF THE ACCUSED AT THE TIME OF THE INVESTIGATION (MCM, 120c)		X
c. IF GROUNDS FOR INQUIRY AS TO THE ACCUSED'S MENTAL CONDITION EXISTS, STATE REASONS THEREFOR and ACTION TAKEN None		
d. A REPORT OF A (BOARD OF MEDICAL OFFICERS) (PSYCHIATRIST) IS APPENDED (Exhibit)		X
11. ALL ESSENTIAL WITNESSES WILL BE AVAILABLE IN THE EVENT OF TRIAL. (If any essential witness(es) will not be so available, list name, address, reason for nonavailability, and recommendation, if any, whether a deposition should be taken. List estimated date of separation and/or transfer, if pertinent and available)	X	
12. EXPLANATORY OR EXTENUATING CIRCUMSTANCES ARE SUBMITTED HEREWITH.		X
13. a. I HAVE INVESTIGATED AND FIND 3 PREVIOUS CONVICTION(S) OF OFFENSES COMMITTED WITHIN THE THREE YEARS NEXT PRECEDING THE COMMISSION OF AN OFFENSE WITH WHICH THE ACCUSED IS NOW CHARGED (MCM, 1951, par 75b(2)) AND DURING:	X	
(1) A CURRENT ENLISTMENT, VOLUNTARY EXTENSION OF ENLISTMENT, APPOINTMENT, OR OTHER ENGAGEMENT OR OBLIGATION FOR SERVICE OF THE ACCUSED, OR	X	
(2) THE LAST ENLISTMENT, APPOINTMENT, OR OTHER ENGAGEMENT OR OBLIGATION FOR SERVICE OF THE ACCUSED WHICH TERMINATED UNDER OTHER THAN HONORABLE CONDITIONS OR FROM WHICH THE ACCUSED DESERTED AND SUBSEQUENTLY ENLISTED.		X
b. AN EXTRACT COPY OF THE ACCUSED'S MILITARY RECORDS OF PREVIOUS CONVICTIONS IS APPENDED (Exhibit 12)	X	
14. IN ARRIVING AT MY CONCLUSIONS I HAVE CONSIDERED NOT ONLY THE NATURE OF THE OFFENSE(S) AND THE EVIDENCE IN THE CASE, BUT I HAVE LIKEWISE CONSIDERED THE AGE OF THE ACCUSED, HIS MILITARY SERVICE, AND THE ESTABLISHED POLICY THAT TRIAL BY GENERAL COURT-MARTIAL WILL BE RESORTED TO ONLY WHEN THE CHARGES CAN BE DISPOSED OF IN NO OTHER MANNER CONSISTENT WITH MILITARY DISCIPLINE.	X	
15. THE CHARGES AND SPECIFICATIONS ARE IN PROPER FORM AND THE MATTERS CONTAINED THEREIN ARE TRUE, TO TH BEST OF MY KNOWLEDGE AND BELIEF. (If the answer is "NO", explain and indicate recommended action on additional sheet).	X	
16. ANY INCLOSURES RECEIVED BY ME WITH THE CHARGES AND NOT LISTED ABOVE AS AN EXHIBIT ARE SECURELY FASTENED TOGETHER AND APPENDED HERETO AS ONE EXHIBIT (Exhibit , if no such inclosures were received, check "NO".)		X
17. (Check appropriate box ONLY if trial is recommended) TRIAL BY [X] GENERAL [ ] SPECIAL [ ] SUMMARY COURT-MARTIAL IS RECOMMENDED.	X	

21.31.3A

Figure 7-8.—Investigating Officer's Report, DD Form 457, page 3.

18. REMARKS *(If more space is required, attach additional sheets. Check* ☐ *YES* ☒ *NO if additional sheets are attached)*

4.e. Counsel requested by the accused in 3.b. qualified within the meaning of Article 27(b), Uniform Code of Military Justice.

	Exhibit #
7.a. Absentee Wanted by the Armed Forces, DD Form 553, dtd 2 November 1973	10
Service Record Page 13, Administrative Remarks, dtd 21 December 1973	11

19. I HAVE NO PREVIOUS CONNECTION WITH THIS CASE OR ANY CLOSELY RELATED CASE. *(If any connection is indicated, attach a full explanation.)* I AM NOT AWARE OF ANY REASONS WHICH WOULD DISQUALIFY ME FROM ACTING AS INVESTIGATING OFFICER. *(If any reasons appear to exist, attach a statement giving full details.)*

TYPED NAME, GRADE, AND ORGANIZATION OF INVESTIGATING OFFICER
KENNETH D. HERMAN, LIEUTENANT, U. S. NAVY
Naval Station, Washington, D. C.

SIGNATURE
Kenneth D. Herman

21.31.3B

Figure 7-9.—Investigating Officer's Report, DD Form 457, page 4.

CONVENING ORDER AND MODIFICATIONS

Circumstances will determine whether a new court is convened for this case or whether the case is referred to an existing court. In the first instance, there will be a new convening order prepared. In the latter, a current convening order may be used, or it may be amended as necessary. This may result when there is an insufficient number of offer members available or when the court may be reduced below a quorum, or when the assignment of enlisted members is required in accordance with the request of an enlisted accused. The text of the convening order indicates the basic authority to convene the court, the place it is to meet, the military judge, the members, and the members of the prosecution and defense. The legal qualifications of the military judge and the members of the prosecution and defense must also be set forth, in accordance with articles 26 and 27 of the Code. If enlisted personnel are detailed as members of the court, the unit to which each is attached is shown.

Amendments to the convening order should be kept to a minimum. To avoid making a number of separate changes by way of amendment, and to help avoid serious errors, it is better practice to convene a new court. The convening order and any amendments thereto are personally subscribed by the convening authority, and show his name, grade, and title, including organization or unit.

A copy of the convening order and any amendments should be sent to the trial counsel. Figure 7-10 illustrates the form of a convening order, and figure 7-11 shows how an amendment to this order is made.

SERVICE OF CHARGES

After the convening authority refers the case to trial by a GCM, the charge sheets are forwarded to the trial counsel of the court, who then serves a copy of the charges upon the accused. In peacetime, an accused must not, against his objection, be brought to trial before a GCM within 5 days after the charges are served upon him. This is to allow him ample time to

HEADQUARTERS
NAVAL DISTRICT WASHINGTON, D. C.
WASHINGTON NAVY YARD
WASHINGTON, D. C. 20390

Code: 04
74-4
3 January 1974

A general court-martial is hereby convened. It may proceed at the Washington Navy Yard, Washington, District of Columbia, to try such persons as may properly be brought before it. The court will be constituted as follows:

MILITARY JUDGE

Captain Frank D. Hall, JAGC, U. S. Naval Reserve, certified, designated, and assigned in accordance with Article 26(b) and (c), and previously sworn in accordance with Article 42(a).

MEMBERS

Captain Hosea L. Simmons, SC, U. S. Navy (President)
Commander John L. Knoll, CEC, U. S. Navy
Commander Jack "C" Todd, U. S. Navy
Commander Robert (n) Keith, CEC, U. S. Navy
Commander Richard (n) Budney, U. S. Navy
Lieutenant Commander Paul (n) Reeves, U. S. Navy
Lieutenant Divra C. Saah, U. S. Navy

COUNSEL

Lieutenant Jewell D. Wilkison, JAGC, U. S. Naval Reserve, TRIAL COUNSEL, certified in accordance with Article 27(b), and previously sworn in accordance with Article 42(a).

Lieutenant Gustave H. Carson, JAGC, U. S. Naval Reserve, ASSISTANT TRIAL COUNSEL, certified in accordance with Article 27(b), and previously sworn in accordance with Article 42(a).

Lieutenant Jose (n) Galito, JAGC, U. S. Naval Reserve, DEFENSE COUNSEL, certified in accordance with Article 27(b), and previously sworn in accordance with Article 42(a).

Lieutenant Charles J. Cirolo, JAGC, U. S. Naval Reserve, ASSISTANT DEFENSE COUNSEL, certified in accordance with Article 27(b), and previously sworn in accordance with Article 42(a).

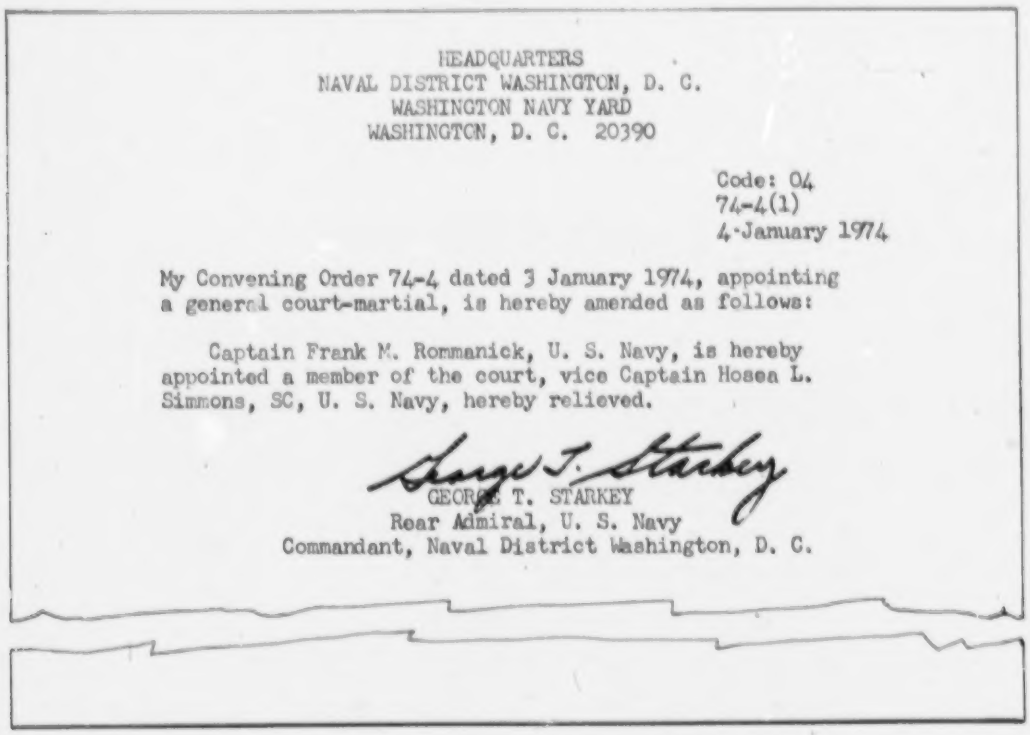
George T. Starkey

GEORGE T. STARKEY
Rear Admiral, U. S. Navy
Commandant, Naval District Washington, D. C.

Copy to:
ALL MEMBERS
MPO NDW
DLO NDW

21.34

Figure 7-10.—General Court-Martial Convening Order.



HEADQUARTERS
NAVAL DISTRICT WASHINGTON, D. C.
WASHINGTON NAVY YARD
WASHINGTON, D. C. 20390

Code: 04
74-4(1)
4 January 1974

My Convening Order 74-4 dated 3 January 1974, appointing a general court-martial, is hereby amended as follows:

Captain Frank M. Rommanick, U. S. Navy, is hereby appointed a member of the court, vice Captain Hosea L. Simmons, SC, U. S. Navy, hereby relieved.

GEORGE T. STARKEY
Rear Admiral, U. S. Navy
Commandant, Naval District Washington, D. C.

21.35

Figure 7-11.—Modification to GCM Convening Order.

prepare his defense. Further continuances may be requested as necessary.

PRETRIAL AGREEMENTS

In section 0114 of the *JAG Manual* authority is granted to GCM convening authorities to make pretrial agreements to reduce charges and/or to mitigate punishment in cases where the accused pleads guilty. This agreement gives the accused a guarantee of the maximum sentence that will be approved by the convening authority if a plea of guilty is entered.

The offer to plead guilty originates with the accused and his counsel. It is submitted to the trial counsel, who conducts arrangements as to the offer and makes recommendations to the CA through the staff legal officer. It is up to the convening authority whether or not he enters into such agreement with the accused. The agreement, if made, is in writing, in a form similar to that set forth in the above directive, is signed by the convening authority and the accused, and witnessed by the defense counsel. An illustration of the form appears in figures 7-12 and 7-13. Under no circumstances is the court informed of any negotiations between counsel and the convening authority on this subject. Even if the agreement is made, the accused may still change his mind and plead not guilty (in which case the convening authority, of course, is no longer bound either by the agreement). If the accused adheres to the agreement and pleads guilty, he may still present matter in mitigation and extenuation and the defense counsel should vigorously represent the accused before the court with respect to the sentence to be adjudged. Where there is such an agreement followed by a guilty plea of the accused, the agreement is made an enclosure to the review

MEMORANDUM OF PRETRIAL AGREEMENT

UNITED STATES

v.

Place Washington, D.C.

Date 8 January 1974

WILLIAMS, Royl James — Name

SN — Rank/Rate

476-36-8569 — SSAN

I, Royl James WILLIAMS, the accused in a General Court-Martial, do hereby certify that for good consideration and after consultation with my Counsel, that I do agree to enter a voluntary plea of GUILTY to the charges and specifications listed below, provided the sentence as approved by the Convening Authority will not exceed the sentence hereinafter indicated by me:

That it is expressly understood that for the purpose of this agreement the sentence is considered to be in these parts, namely: the punitive discharge, period of confinement or restraint, the amount of forfeiture or fine, and reduction in rate or grade:

That should the court award a sentence which is less, or a part thereof is less that that set forth and approved in the agreement, then the Convening Authority, according to law, will only approve the lesser sentence;

That I am satisfied with my Defense Counsel in all respects and consider him qualified to represent me in this Court-Martial;

That this offer to plead guilty originated with me and my Counsel; that no person or persons whomsoever, have made any attempt to force or coerce me into making this offer or in pleading guilty;

That my Counsel has fully advised me of the meaning and effect of my guilty plea and that I fully understand and comprehend the meaning thereof and all of its attendant effects and consequences;

That I understand that I may withdraw this plea at any time before sentence but not after sentence is adjudged;

That I understand this offer and agreement and have been advised that it can not be used against me in the determination of my guilt on any matters arising from the charges and specifications made against me in this Court-Martial.

21.36

Figure 7-12.—Memorandum of Pretrial Agreement to Plead Guilty, page 1.

CHARGES PREFERRED:		GUILTY PLEA BY ACCUSED TO:	
Article #	Description	Article #	Description
1. 85	Desertion	86	Unauthorized absence
2.			
3.			

Sentence as approved by Convening Authority agreeable to accused

1. Punitive Discharge: Bad Conduct Discharge - suspended on probation for period of confinement and six months thereafter
2. Confinement ~~or Restraint~~: Confinement at hard labor for six months
3. Forfeiture ~~or Fine~~: Forfeiture of two-thirds pay per month during period of actual confinement
4. Reduction to: Seaman Recruit

Signed: ROYL JAMES WILLIAMS
(Name of Accused)

8 January 1974
Naval Station
Washington, D. C.
(Date and Place)

Witness: LT GUSTAVE H. CARSON, USN
8 January 1974
Naval Station, Washington, D. C.
(Defense Counsel, Date and Place)

Witness: DEAN H. JOHLES, YNCS, USN
8 January 1974
Naval Station, Washington, D. C.
(Name, Date and Place)

From: Commandant, Naval District, Washington, D. C. (Convening Authority)
To: LT GUSTAVE H. CARSON, USN (Defense Counsel)
Via: LT JEWELL D. WILKISON, USN (Trial Counsel)

The foregoing agreement is (Approved/~~Disapproved~~)

GEORGE T. STARKEY

21.37

Figure 7-13.—Memorandum of Pretrial Agreement to Plead Guilty, page 2.

submitted with the record of proceedings by the staff legal officer to the convening authority.

TRIAL PROCEDURE

Article 39(a) Sessions

Article 39(a) of UCMJ (amended) provides that at any time after the service of charges which have been referred for trial to a court-martial composed of a military judge and members, the military judge may call the court into session without the presence of the members for the purpose of performing any of several procedural functions which do not legally require the presence of the members and which would consume their time unnecessarily. Some purposes for which an Article 39(a) session may be called are: ascertaining the existence of a request for trial by military judge alone or a request for enlisted members; disposing of interlocutory matters; hearing defense and objections; ruling upon other matters that may legally be ruled upon by the military judge such as admitting evidence; and if permitted by regulations of SecNav, holding the arraignment; receiving pleas; and entering findings of guilty upon an accepted plea of guilty. The military judge may call the court into one or more Article 39(a) sessions prior to assembly, after assembly, and when directed by the appropriate reviewing authority, subsequent to announcement of sentence.

These proceedings, if held, are part of the trial and must be conducted in the presence of the accused, the defense counsel, and the trial counsel. They must be made part of the record.

Because the session is part of the trial, certain of the steps discussed below may take place at that time. If so, they are not repeated later. For example, persons who are sworn during a 39(a) session are not sworn later.

ASSEMBLING THE COURT

Trial personnel meet at the time and place, and in the uniform, designated by the president of the court. The members are seated alternately to the right and left of the president, according to rank. The military judge is seated apart from the members. The remainder of the personnel involved are separately seated, in an arrangement roughly similar to that shown in figure 7-14.

The military judge begins with the words, "The court will come to order." Trial counsel then states who has convened the court, and names the members of the court who are present as well as those absent. The trial counsel then swears you in as reporter. Trial and defense counsel state their own qualifications, and the military judge asks the trial counsel whether a request has been made for enlisted membership. Note that the court has not yet been officially assembled.

After confirming the request or nonrequest for enlisted membership, the military judge directs trial counsel to assemble the court. Assuming that the accused in this case has requested enlisted membership, refer back to figure 7-11 for the form used to modify the convening order to provide for enlisted membership.

When the trial counsel announces "The court will be sworn", all persons in the courtroom will stand until the members of the court, military judge, and counsel have been sworn; the oaths are administered in this order:

- Trial counsel swears in all members.
- Trial counsel swears in military judge.
- President swears in counsel for the prosecution.
- President swears in counsel for the defense including individual counsel, if present.

After the court is duly sworn, the military judge announces. "The court is now assembled." Even though no testimony has yet been heard, your job is to get all this down in writing, or by mechanical or electrical means. The oaths themselves do not have to be recorded as long as the record shows that all concerned were properly sworn.

CHALLENGES

The court having now been assembled, the trial counsel announces the general nature of the charges, and states any ground for challenge of which he is aware. This is the point at which the

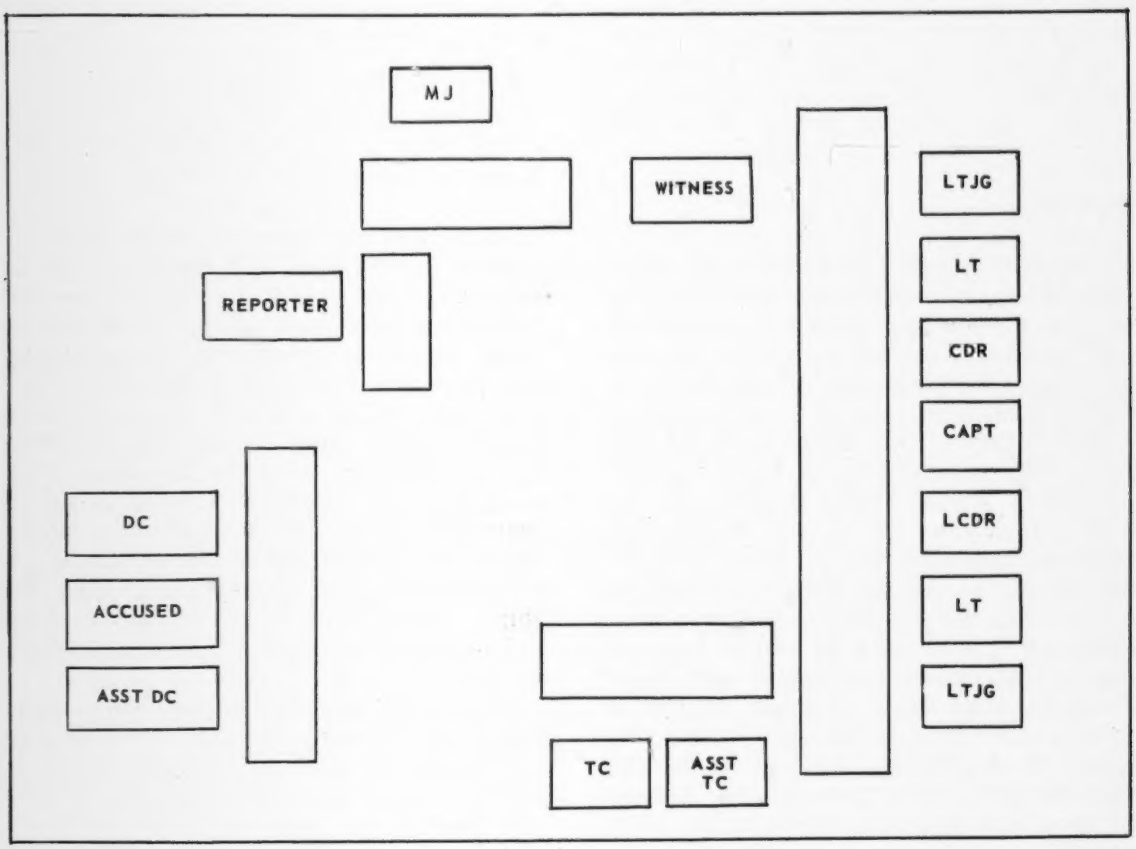


Figure 7-14.–General Court-Martial seating arrangement.

counsel may also make his peremptory challenge, although this may be done later. He then asks whether the accused (defense counsel) wishes to challenge, either for cause or peremptorily.

ARRAIGNMENT

After challenges are completed, the accused is arraigned. This means that the man on trial is formally accused of the offense(s) before the court. It is done by the trial counsel reading from the Charge Sheet the charges and specifications, the name and description of the accuser, affidavit of the witnessing officer, reference for trial by the convening authority, and the date the charges were formally served on the accused. The accused may waive the actual reading of the charges and specifications in court, if he so desires. However, they are copied verbatim into the record at this point, or a copy thereof is inserted in the record whether or not the accused waives the actual reading aloud of the charges and specifications. After announcing the date that the charges were served upon the accused, the trial counsel asks the accused how he pleads. Trial counsel, before the actual plea, advises the accused that any motion to dismiss any charge or to grant other relief should be made at this time. Such motions might include motions to sever, for continuance, or for examination of the accused because of suspected

insanity. All proceedings and actions thereon are recorded. Final ruling on such motions is made by the military judge (except that a ruling on the question of accused's mental responsibility is subject to objection by any member of the court and may be overruled by the court).

THE PLEA

The accused and his counsel rise while entering the plea. In any case in which a plea of guilty is entered, the meaning and effect is explained to the accused. Therefore, when the accused pleads guilty, it is explained to him that by so doing, he admits every act or omission charged and every element of that offense; that such plea subjects him to a finding of guilty without further proof of that offense, in which event he may be sentenced by the court to the maximum punishment authorized for it; that he is legally entitled to plead not guilty and place the burden upon the prosecution of proving his guilt of that offense; and that his plea will not be accepted unless he understands its meaning and effect. The military judge should advise the accused of the maximum punishment which may be adjudged for an offense or offenses to which he has pleaded guilty. That the accused has received such advice and explanation must be entered in the record.

CASE FOR THE PROSECUTION

If there is a plea of not guilty to any specification, the prosecution proceeds. Witnesses introduced are sworn by the trial counsel. Usually the first two questions asked every witness are formal and are asked by the trial counsel. These two questions are to have the witness identify himself, and to determine if he knows the accused. When questioning prosecution witnesses, trial counsel proceeds through what is referred to as the direct examination. When he completes his questioning of a witness, defense counsel, if he so desires, conducts a cross-examination of the witness. If defense counsel cross-examines a witness, and trial counsel then has further questions to ask, he (trial counsel) conducts a redirect examination, which may be followed by recross-examination by the defense counsel. In short, the case moves along as follows when a prosecution witness is being questioned:

Trial counsel	Direct examination
Defense counsel	Cross-examination
Trial counsel	Redirect examination
Defense counsel	Recross-examination

When recording testimony of witnesses, be prepared for objections by opposing counsel. Do not assume that the line of questioning will continue uninterrupted. When objections are voiced, they must appear in the record verbatim with the reason therefore, along with the reply of the party asking the original question, and the military judge's ruling thereon. Remember too, that all testimony must be recorded. If the questioning and answering proceed at an unreasonable rate of speed for accurate recording, you, as the reporter, should request that they be slowed down. You should also request that anyone concerned be advised to speak louder or more distinctly if necessary, to ensure reliable reporting.

After each counsel has finished questioning a witness, questions by the court or its members and evidence elicited by these questions are subject to objection on proper grounds by either side. The military judge or the president of a special court-martial without a military judge, may require members to submit their questions to him either orally or in writing so a ruling may be made on the propriety of the questions or course of questioning and so that the questions may be asked on behalf of the court in either their original or rephrased form by the military judge, president of the special court-martial without a military judge, or trial counsel. When trial counsel has presented all his evidence (testimony and exhibits), he rests his case. When a witness has completed testimony he is warned by the military judge not to discuss his testimony with anyone. The witness is then excused.

CASE FOR THE DEFENSE

The defense now has its turn. Counsel presents an opening statement, if desired, and introduces stipulations, witnesses, and material evidence in a manner similar to that followed by the trial counsel. Defense counsel proceeds with

direct examination, and trial counsel, if he so desires, conducts the cross-examination. In other words, each counsel is the first to question his own witness. Then opposing counsel follows with the cross-examination, usually limiting his questions to issues on which the witness has testified and matters that might tend to affect credibility of the witness. When questioning is concluded, the witness is excused from the stand and appropriately warned.

The accused may take the stand as a witness in his own behalf, but only at his own request. If he testifies concerning certain specifications only, cross-examination by trial counsel and the court must be limited accordingly.

If the accused does not wish to testify in his own behalf, his failure to make such a request should not create any presumption or inference against him. If he does take the stand as a witness, he is, in general, subject to the same rules of evidence that apply to other witnesses. He becomes subject to cross-examination upon the issues covered in his testimony, and upon the question of his credibility. When the accused voluntarily testifies about an offense for which he is being tried, he thereby waives the privileges against self-incrimination, and any matter relevant to the issue of his guilt or innocence of such offense is properly the subject of cross-examination.

ARGUMENTS

After all the evidence is introduced, and each side has rested its case, arguments by counsel may be made, although they are not required. If made, they may be oral or written. Oral arguments are recorded verbatim. A written argument will be attached as an exhibit for the side which presented it. Trial counsel may make an opening argument. This is a final discussion of the case by the trial counsel directed to the court. He uses it to summarize and point out certain features of the case to convince the court that the man is guilty as charged. Regardless of whether trial counsel makes an argument (and he generally will) defense counsel may also make one. If defense counsel makes one, trial counsel may make a final, "closing" argument. This order of arguments is followed in all courts because the prosecution (in military courts the trial counsel) has the "burden of proof," in other words, the responsibility of proving the accused guilty. The accused does not have to prove himself innocent. Since the trial counsel has the burden of proof, he is given the last word.

CONCLUSION OF THE CASE

The case is near conclusion when the military judge, in open court, advises the court members, among other things, as to the elements of proof required to convict the accused of each offense with which he is charged. Further, he advises the court that the accused must be presumed to be innocent until his guilt is established by legal and competent evidence beyond a reasonable doubt, and that if there is a reasonable doubt as to the guilt of the accused, the doubt shall be resolved in favor of the accused and he shall be acquitted. In addition, the military judge advises the court of such other matters as are required, and any advice to the court or any additional instructions he may desire to give.

The court is now closed for the findings. All persons except the court members leave the courtroom, and the members vote by secret written ballot. After the findings have been reached, court is reopened, all parties to the trial return, and the findings are announced by the president in open court.

If the accused is found not guilty on every specification, the president so states and the court is adjourned.

If the accused is found guilty of any specification, the president announces on which specifications, if any, he was acquitted.

After findings of guilty are announced, trial counsel reads the personal data concerning the accused shown on the charge sheet, and introduces evidence of previous convictions, if any. At this time trial counsel introduces any matter in aggravation, and the defense counsel introduces any matter in extenuation or mitigation. If desired, the accused may make an unsworn statement. This statement may be oral or in writing, or both, and it may be made by the accused, counsel, or both.

The military judge advises the court of the maximum punishment which may be adjudged

for the offenses of which the accused has been found guilty. The court is again cleared and the members vote on the sentence by secret written ballot. Forms of sentences appear in *MCM*. As soon as sentence is determined, court is opened and the sentence announced by the president. After the sentence has been announced, a recommendation for clemency may be submitted in accordance with established procedure. The trial is now finished.

If the accused has been found guilty, the defense counsel explains his appellate rights, and if desirable, prepares a clemency petition and an appellate brief. The defense counsel usually examines the record of the trial before it is forwarded to the convening authority.

SUMMARY OF MAIN STEPS

In review, here are the main steps in a trial by GCM, in order of occurrence:

- Military judge calls court to order
- Reporter sworn by TC
- Statement of counsels' qualifications
- Discussion of request for enlisted membership
- Court sworn:
  a. Members and military judge sworn by TC
  b. TC/ATC and DC/ADC sworn by president
- Court assembled
- Challenges presented
- Accused arraigned
- Motions for relief and rulings thereon
- Plea(s)
- Presentation of prosecution case, including introduction of evidence and witnesses (direct, cross, redirect, and recross-examination)
- Presentation of defense case, including introduction of evidence and witnesses, with accused as witness if desired
- Arguments by counsel
- Court closed for determination of findings–court reopened–findings announced
- Presentation of personal data concerning accused, evidence of previous convictions, matter in aggravation (by TC); of matter in mitigation or extenuation (by DC)
- Court closed for determination of sentence–court reopened–sentence announced
- Adjournment

SUMMARY OF TRIAL COUNSEL'S DUTIES

Because you will be assisting the trial counsel with many of his duties, some of the most important are listed below.

PRIOR TO TRIAL

To refer charges promptly to trial before the court concerned.

To report the facts to the convening authority if the membership of the court is reduced below a quorum (the least number of members required to be present for the court legally to be able to act), or if he has reason to anticipate such reduction.

To correct and initial slight errors or obvious mistakes in the charges/specifications, but not, without authority, make any substantial change therein.

To serve immediately upon receipt, a copy of the charge sheet, as received and corrected by him, on the accused, and to so inform the detailed defense counsel.

To assure that the data on the charge sheet and any evidence of previous conviction are complete and free from errors.

To give timely notice to all concerned of the time and place of any meeting of the court.

To notify and arrange to have present at the trial all witnesses who are to testify in person.

To advise the defense of the probable witnesses to be called by the prosecution.

To obtain a room and the required stationery for the court, and to have prepared a copy of the charges and specifications for each member of the court and the military judge.

DUTIES DURING TRIAL

To keep or superintend the keeping of the record of proceedings.

To join in appropriate stipulations with a view to saving time and expense (Stipulation– an

agreement between parties; in this case, between the trial and defense counsels).

If he considers it advisable, to make a brief opening statement of the issues, and what he expects to prove.

To conduct the direct and redirect examinations of the witnesses for the prosecution, and the cross- and recross-examination of the witnesses for the defense.

To conduct the direct and redirect examinations of witnesses called by the court, and if they are adverse to the prosecution, to conduct cross-examination on behalf of the prosecution.

DUTIES AFTER TRIAL

Upon final adjournment of the court, to notify, in writing, the convening authority and the immediate commanding officer of the accused of the result, including any findings reached and any sentence imposed by the court.

To record the proceedings of the trial of each case, such record to be authenticated by the signature of the military judge. (The record is prepared by the trial counsel under the direction of the court, but the persons authenticating the record are responsible for its accuracy. The actual record is kept during the trial by a reporter acting under the trial counsel's direction.)

To give the accused a copy of the record and of all documentary exhibits received in evidence, as soon as the record is authenticated (except classified information).

To obtain from the accused a receipt for the copy of the record furnished him, this receipt to be attached to the original record of trial. (If it is impracticable to obtain a receipt from the accused before the original record is forwarded to the convening authority, the trial counsel attaches to the original, a certificate to the effect that a copy has been transmitted to the accused, giving the method of transmission, the addressee, and a statement that the receipt of the accused will be forwarded to the convening authority as soon as it is received.

To forward to the convening authority the original and all other copies of the record and accompanying papers.

RECORD OF TRIAL

If a verbatim record of the trial is kept, it is prepared by the trial counsel under the direction of the court, in accordance with the *MCM.* In cases affecting a flag officer, or including the sentence of death, dismissal, dishonorable or bad conduct discharge, or confinement for one year or more, the reporter prepares for forwarding for review an original and two copies of each record and of all documentary exhibits received in evidence, and an additional copy for each of the accused. In all other cases, the reporter prepares, to be forwarded for review, an original of each record and of all documentary exhibits received in evidence, and an additional copy for each of the accused tried. The CA may direct that additional copies be prepared.

However, if the accused is acquitted there need not be a verbatim record. Only facts of jurisdiction need be kept.

ASSEMBLING THE RECORD

All copies of the record, except that delivered to the accused, are bound separately and enclosed with the original record of trial when it is forwarded to the CA. The record should be bound within protective covers. The following arrangement may be used as a guide to the preparation of a record of trial for forwarding to the CA:

- Court-Martial Chronology/Prisoner Data (Form NavJag 5813/1).
- Appellate rights letter (if any)–Article 66 of UCMJ directs that the record of trial in cert in cases shall be referred by JAG to a Court of Military Review. Included in the "certain cases" category are those in which the sentence includes a dishonorable or bad-conduct discharge, or confinement for a year or more. The appellate rights letter is a signed letter from the accused to JAG stating that he understands his right of appeal and desires (or not) to be represented by counsel when his case is reviewed by a Court of Military Review. See *JAG Manual.*
- Court-Martial Data Sheet (DD-494)–Checkoff sheet of important legal steps taken during and after the trial. (Include only if directed by your convening authority.)

- Court-Martial Orders (figs. 7-15 and 7-16)—Original and three certified copies of the convening authority's promulgating order, attached to the original record of trial.
- Signed review of staff judge advocate or legal officer, in duplicate. (As required by Article 61.)
- Charge Sheet (DD Form 458).
- Investigating Officer's Report (DD Form 457), followed by other pertinent papers where appropriate.
- Advice of staff judge advocate or legal officer. (As required by Article 34.)
- Records of former trials, if any.
- Record of trial assembled as follows:
  - Index
  - Receipt of accused, or certificate of TC, showing delivery of copy of record to accused
  - Record of court proceedings
  - Action of the CA
  - Exhibits admitted in evidence
  - Clemency papers
  - Offered exhibits not received in evidence, but attached at the request of counsel
  - Appellate exhibits
  - Briefs of counsel

AUTHENTICATION

The record is authenticated by the military judge who was actually present at the conclusion of the proceedings. In his absence the trial counsel authenticates the record. If, after trial, both of the persons who served in those capacities are unable to authenticate because of death, disability, or absence, the record is signed by a member of the court who was present at the conclusion of the proceedings. The person authenticating the record is responsible for its accuracy.

DISPOSITION

As soon as the record is authenticated, the trial counsel gives the accused a copy of the record and all documentary exhibits received in evidence. A receipt of the accused for the copy of the record furnished him is obtained and attached to the original record of trial. The original record and accompanying papers are then forwarded by the trial counsel to the headquarters of the convening authority.

PROMULGATION

Any action taken on the proceedings, finding, or sentence of a general court-martial by the convening authority or any other authority empowered to take such action is published by a promulgating order.

Promulgating orders are distributed as follows:

- Original is attached to the original record of trial.
- Duplicate original is placed in the service record of the accused, unless the court-martial proceedings resulted in acquittal of all charges, disapproval of all findings of guilty, or disapproval of the sentence by the convening authority when no findings have been approved by him.
- Certified copies:
  - Three are attached to the original record of trial.
  - One is attached to each copy of the record of trial.
  - Two to the commanding officer of an accused who is ordered to a brig as a place of confinement; three if a disciplinary command is designated as a place of confinement. These copies accompany the records of the accused to the place of confinement.
  - One to the Chief of Naval Personnel.
  - One to the Senior Member, Naval Clemency Board, Washington, D.C., if the sentence, as approved by the CA, includes a punitive discharge or confinement for 8 months or more.
- Plain copies:
  - One to the accused.
  - One each to the military judge, trial counsel and defense counsel of the court-martial before which the case was tried.
  - One to the convening authority and, if the accused was serving in a command other than that of the CA at the time of the alleged offense, one copy to the

HEADQUARTERS
Naval District
Washington, D. C. 20390

NDW Case ___ GCM
15 January 1974

GENERAL COURT-MARTIAL ORDER NO: 74-4

Before a general court-martial which convened at the Naval Station, Washington, D. C., pursuant to the Commandant, Naval District, Washington, D. C. convening order 74-4 of 3 January 1974, as amended by the Commandant's modification order 74-4(1) of 4 January 1974, was arraigned and tried:

ACCUSED

WILLIAMS, Royl James, 476-36-8569, seaman, U. S. Navy, Naval Station, Washington, D. C.

OFFENSE

Charge: Violation of the Uniform Code of Military Justice, Article 85.

Specification: In that Royl James WILLIAMS, seaman, U. S. Navy, Naval Station, Washington, District of Columbia, did, on or about 30 October 1973, without proper authority and with intent to remain away therefrom permanently, absent himself from his organization, to wit: the said Naval Station, and did remain so absent in desertion until he was apprehended on or about 21 December 1973.

PLEAS

To the specification: Guilty, except the words "and with intent to remain away therefrom permanently," and "in desertion."

To the charge: Not guilty, but guilty of a violation of Article 86.

FINDINGS

Of the specification: Guilty, except the words "and with intent to remain away therefrom permanently," and the words "in desertion," of the excepted words, not guilty.

Of the charge: Not guilty, but guilty of a violation of Article 86.

SENTENCE

To be discharged from the service with a bad conduct discharge, to forfeit $50.00 per month for six months, to be confined at hard labor for six months, and to be reduced to the grade of seaman recruit one previous conviction considered.

The sentence was adjudged on 12 January 1974.

21.27.1

Figure 7-15.—GCM Promulgating Order, page 1.

ACTION

HEADQUARTERS
Naval District
Washington, D. C. 20390

NDW Case ___ GCM
15 January 1974

In the foregoing case of Royl James WILLIAMS, seaman, U. S. Navy, the sentence is approved and will be duly executed, but the execution of that portion thereof adjudging bad conduct discharge is suspended for the period of confinement and six months thereafter, at which time, unless the suspension is sooner vacated, the suspended portion shall be remitted without further action. The Brig, Naval Station, Washington, D. C., is designated as the place of confinement.

In compliance with section 0123c of the JAG Manual, a synopsis of the accused's conduct during the current enlistment or extension thereof, as reflected by his current service record, is prefixed to the record of proceedings and incorporated herein by reference.

In taking this action, the record of trial and the review of the Staff Legal Officer have been considered.

The record of trial is forwarded to the Judge Advocate General of the Navy for review by a Court of Military Review.

George T. Starkey

GEORGE T. STARKEY
Rear Admiral, U. S. Navy
Commandant, Naval District, Washington, D. C.

Copy to:
JAG
BUPERS
SrMbrClemBd
NavSta Wash DC
(Others as applicable)

21.27.2

Figure 7-16.—GCM Promulgating Order, page 2.

command in which he was then serving.
- One to each appropriate subordinate unit and any other local distribution desired.

Figures 7-15 and 7-16 show a typical promulgating order.

CASE REVIEW

Every court-martial case must be reviewed. Because of the seriousness of a GCM case and of the penalties that may be awarded, more extensive review procedures are provided than for cases tried by inferior courts.

INITIAL REVIEW

Before acting upon a record of trial by GCM, a convening authority refers it to his staff judge advocate or legal officer for review and advice. This officer submits a written review thereof to the convening authority, and returns the record to him for decision and promulgation of the initial action taken.

The initial action taken by the GCM convening authority is entered in the enlisted service record of the accused on the Court Memorandum, NavPers 1070/607, as illustrated in figure 7-17. A general court-martial order announcing the result of the trial and the action of the CA is promulgated before forwarding the record to higher authority for appellate review.

Sentences extending to death, or involving a general or flag officer, sentences extending to the dismissal of other commissioned officers, cadets or midshipmen, and sentences extending, unsuspended, to dishonorable or bad-conduct discharge or confinement for one year or more may not be executed until completion of appellate review. Lesser sentences of a court-martial may be ordered executed when approved by the convening authority.

APPELLATE REVIEW

More severe sentences may not be executed until approved or affirmed by higher authority. Further review or affirmation by the office of the Judge Advocate General, his Court of Military Review, by the Court of Military Appeals, and in certain cases, by SecNav or by the President, depending upon the severity of the sentence as approved by the CA.

The following tabulation shows some of the more severe sentences which may be awarded, and the steps of review required before the sentence may be ordered executed:

Sentence	Steps of Review
Death, or any sentence involving a flag/general officer	1. Convening Authority 2. Court of Military Review 3. JAG 4. Court of Military Appeals 5. President
Dismissal of an officer, cadet, or midshipman	1. Convening Authority 2. Court of Military Review 3. JAG 4. Court of Military Appeals (see note 1.) 5. SecNav (See note 2.)
DD/BCD (Whether or not suspended)	1. Convening Authority 2. Court of Military Review 3. JAG 4. Court of Military Appeals (See note 1.)

Note 1–The accused has 30 days from the time he is notified of the decision of a board of review to petition the COMA for a grant of review. JAG may also order that a case be forwarded to COMA for review.

Note 2–This includes such Under Secretary or Assistant Secretary as may be designated by SecNav.

If the Court of Military Review affirms any sentence requiring review by the Court of Military Appeals, the record is forwarded directly by JAG.

If the sentence, as affirmed by the COMA, requires action by SecNav or the President, the record of trial, the decision of the Court of Military Review, the recommendation of JAG, and the decision of the COMA are transmitted to the Secretary of the Navy.

BUPERS USE ONLY

P601-7R

BUPERS USE ONLY

COURT MEMORANDUM

1. DATE SUBMITTED: 74JAN18	2. SHIP OR STATION: NAVAL STATION, WASHINGTON, D. C.				
3. DATE OF REFERRAL: 74JAN08	4. TYPE OF COURT: GENERAL	5. DATE OF COURT/MAST: 74JAN15	6. UCMJ ARTICLE(S): 85		
7. DATE OF ACTION: 74JAN15	TYPE OF ACTION: [X] 8. REPORT OF ACTION	[ ] 9. MODIFICATION OF ACTION	[ ] 10. CORRECTION TO PREVIOUS 1070/607	11. DATE OF ACTION ON 1070/607 MOD. OR CORRECTED	
[X] 12. RATE ADJUSTMENT	13. FROM: SN	14. TO: SR	15. TIR: 73SEP01		
[X] 16. FORFEITURE	17. MONTHLY AMT.: $ 50.00	18. NO. MONTHS: 06			
[ ] 19. FINE	20. AMOUNT: $	[ ] 21. CONSENT TO CHECKAGE	[ ] 22. DOES NOT CONSENT TO CHECKAGE	23. MO. AMT. OF CHECKAGE: $	24. NO. MOS.
[ ] 25. DETENTION	26. MONTHLY AMT.: $	27. NO. MONTHS	28. DETENTION REFUND DATE		
[ ] 29. DESERTION MARK REMOVED	[X] 30. ADJUDGED	[ ] 31. ADJUDGED AND DISAPPROVED			
PRE-TRIAL CONFINEMENT 32. FROM: 74JAN15	33. TO: 74JUL15	34. DAYS LOST TIME (30 DAY BASIS)	35. DAYS LOST TIME (DAY FOR DAY)		
CONFINEMENT ORDERED AND COMPLETED 36. FROM: 74JAN15	37. TO: 74JUL15	38. DAYS LOST TIME (30 DAY BASIS)	39. DAYS LOST TIME (DAY FOR DAY)		
40. CHANGE EAOS TO:	41. CHANGE EXP. ENL. TO:				

42. SYNOPSIS OF OFFENSE(S), DATE(S), AND SENTENCE ADJUDGED (ALSO AMPLIFYING REMARKS, MAY BE CONTINUED ON REVERSE)

74JAN15: GENERAL COURT-MARTIAL: VIOL UCMJ, ART 85 - DESERTION WITH INTENT TO REMAIN PERMANENTLY FROM 730CT30 TO 73DEC21. SENTENCE AS ADJUDGED: TO BE CONFINED AT HARD LABOR FOR SIX (06) MONTHS, TO FORFEIT $50.00 PER MONTH FOR SIX (06) MONTHS AND TO BE REDUCED TO THE GRADE OF PAY GRADE E-1. SENTENCE ADJUDGED: 74JAN15.

DATE IDENTIFICATION AND RESUME OF CONVENING, SUPERVISORY, OR OTHER AUTHORITY INCLUDING ACTION UNDER ARTICLES 65, 66, 67, 69, 72, 73, 74, OR 15 (D) OR (E), UCMJ, (ALSO ANY APPEAL)

	43. 1070/607 DTD	44. AUTHORITY TYPE
45.	74JAN18	CONVENING

COMMANDANT, NAVAL DISTRICT WASHINGTON, D. C. GENERAL CMO NO. 74-4 RECORD OF TRIAL FORWARDED TO JAG ON 74JAN15.

CA'S ACTION: APPROVED AND WILL BE DULY EXECUTED. THE BRIG, NAVAL STATION, WASHINGTON, D. C. IS DESIGNATED AS PLACE OF CONFINEMENT.

(MAY BE CONTINUED ON REVERSE)

46. SIGNATURE: J. C. SUTHERLAND, CDR, USN, BY DIR OF CO — GRADE

	47. UNIT I.D. CODE	48. RATE	
	00000	SN	
49. NAME (LAST, FIRST, MIDDLE)		50. SSN	51. BRANCH/CLASS
WILLIAMS, ROYL JAMES		476-36-8569	USN

COURT MEMORANDUM NAVPERS 1070/607 (REV 10-71)

RETAIN IN SERVICE RECORD

6.23

Figure 7-17.—Court Memorandum NavPers 1070/607.

A report of any action taken subsequent to initial review is forwarded by such reviewing authority to the convening authority and to the commanding officer of the accused, for notation in the service record of the accused. This notation is accomplished by completion of the Court Memorandum NavPers 1070/607. This page will show the action taken by the Court of Military Review, as illustrated in figure 7-17.

This section is intended to show only some of the steps of review by higher authority. It is not intended to cover the duties and powers of these authorities. For more detailed information, pertinent chapters of the *MCM* should be consulted.

SUMMARY

The paperwork connected with courts-martial is important. The record of a trial must be accurate and must be complete. A supervisory authority will return for correction any record of court-martial proceedings which have not been properly prepared. This is time-consuming and embarrassing. More important, errors in the proceedings may result in a failure of justice. No attempt has been made to go into legal matters, as such. This we leave to the legal specialists and the *MCM*. The record, however, is initially your product and one of the most important jobs you will perform.

CHAPTER 8

FACT-FINDING BODIES AND CASUALTY REPORTING

Whenever a ship is involved in a collision or has an accident in which repairs are required; whenever an aircraft is involved in any accident; whenever there is a serious fire at an activity; whenever naval personnel are injured or die from an accident or under peculiar circumstances, the commanding officer must find out what happened, why it happened, how it happened, and to whom. If, as a result of his inquiry, anyone is found to be culpably negligent, disciplinary action should be taken.

GENERAL CHARACTERISTICS

The commanding officer's method of finding out what happened is to appoint a fact-finding body composed of one or more officers (and in certain situations senior enlisted personnel or civilians) to investigate the incident for him.

Purpose

The reporting of facts concerning any unusual incident is of importance to any personnel involved as well as in the administration of the Navy as a whole. In other words, the reporting of facts by fact-finding bodies is necessary in order that the Navy may be more efficiently managed. As an example, take the investigative report on an aircraft accident which discloses a material or equipment failure. The report is routed to the Naval Air Systems Command, which may find it helpful to issue new regulations or instructions to forestall another accident of the same type.

In another field, it is of utmost importance that all the facts upon which may depend future rights and benefits be gathered and preserved at the time a personal injury is incurred. It may then be necessary to determine and to make a matter of record whether misconduct or actions not in the line of duty are involved. Favorable findings will be of great weight in protecting rights and benefits of the servicemen involved.

An immediate advantage to the command convening the inquiry is that in limited cases the record of proceedings serves as a pretrial investigation, required for any general court-martial.

Types

There are three types of fact-finding bodies: courts of inquiry, boards of investigation, and single individual investigations. Both boards of investigation and single individual investigations are divided into those which are formal and those which are informal. The three types here discussed may be referred to as "JAG Manual investigations" because the controlling regulations are set forth in Chapters II through XIX of the JAG Manual (JAGINST 5800.7 series); at the same time, the term helps to distinguish these investigations from others controlled by different sets of regulations; e.g., OPNAVINST 3750.6 series concerning the investigation of Navy aircraft accidents for the purpose of accident prevention.

Courts of inquiry may be convened by any person authorized to convene a general court-martial or any other person designated by the Secretary of the Navy. With two exceptions, any officer in charge, commanding officer, or higher authority may order an investigation. Officers in charge are excluded if they are not authorized to impose nonjudicial punishment under Article 15

of UCMJ (see JAG Manual, secs. 0101a(2)(b) and 0502). The other exception is that if the investigation involves redress of injuries of property under Article 139 of UCMJ, the convening authority must be a commanding officer who is authorized to convene special courts-martial, or a superior authority.

A court of inquiry is the most formal fact-finding body, and except for the statutory board for redress of injury to property provided for in Article 139, UCMJ, is the only body which has the power to subpoena civilian witnesses. Testimony is always taken under oath and the proceedings are recorded verbatim.

The main differences between a formal investigation and one which is informal is that, a formal investigation utilizes a formal hearing procedure, ordinarily takes all testimony under oath, ordinarily maintains a verbatim record of all evidence, and may be authorized to designate parties while an informal investigation normally employs the preliminary inquiry method of gathering evidence; i.e., telephone inquiries, correspondence, and informal interviews. In addition, parties may not be designated in an informal investigation.

Function

A fact-finding body of whatever type has only one basic function: To find out and report impartially the facts concerning an incident. The investigation must be confined to the limits of the appointing order. All facts learned are reported to the officer who ordered the investigation (convening authority). The report of the investigation provides the basis for any future administrative action, but the investigation itself is not a trial, and opinions expressed are not legal judgments.

Composition

The composition of a fact-finding body depends in part upon the type of body convened and in part upon the nature of the inquiry.

A court of inquiry consists of at least three commissioned officers as members and a commissioned officer as counsel for the court. A formal investigation consists of one or more commissioned officers as member or members. An informal investigation may consist of one or more officers, senior enlisted persons, or civilian employees of the Department of the Navy as member or members. If more than one member it is called a board of investigation. For the formal and informal investigations counsel may be appointed if considered advisable. The assigned counsel for an investigative body should be an officer experienced in trial or investigative procedures, and preferably a lawyer.

Ordinarily no counsel will be appointed for an informal investigation.

If no counsel is assigned to a board of investigation, the junior member will act as counsel.

No member of a fact-finding body should be junior to an officer designated in the appointing order as a party to the inquiry.

Rules of Attendance

In courts of inquiry and formal investigations, attendance at the proceedings becomes the primary duty of all members. If a member is absent, perhaps because of illness, the proceedings may not continue unless so directed by the convening authority. When a member who has been absent returns, that part of any of the proceedings he missed is read to him.

The rules of attendance for informal investigations are not quite so rigid. In fact, in the case of an informal board of investigation (two or more members), the presence of all members is not necessary for the investigation to continue unless the convening authority so directs. This is exactly the opposite of the preceding paragraph. If testimony is taken during the absence of a member, his absence is simply noted in the transcript or summary of the witness' testimony. Sometimes a person is appointed a member only because he possesses useful technical knowledge. When this information is noted in the appointing order, it is understood that he need not participate in those parts of the investigation which do not concern his specialty.

A member's assignment to an investigation is his primary duty regardless of the type of investigation; whether it be a court of inquiry, a board of investigation, or a one-man investigation. A member may not absent himself simply

for the performance of his usual duties without permission of the convening authority.

Appointing Orders

Courts of inquiry and formal investigations are convened by an appointing order signed by the convening authority. The order is in official letter form addressed to the president of the court of inquiry or senior member of the investigation. Article 135 of UCMJ states that courts of inquiry shall make findings of fact, but shall not express opinions or make recommendations unless directed to do so by the convening authority. By extension, this rule also applies to formal investigations. Therefore, in each order appointing a court of inquiry or an investigation, the convening authority must so indicate if he desires any opinions or recommendations. As a general rule, both are called for and included in the report.

The appointing order names all members, counsel, and parties, if appropriate; shows the time and place for meeting; and provides instructions as to the scope, or range, of the inquiry. When oaths are to be administered and the proceedings recorded verbatim, the appointing order so directs all cases. (See fig. 8-1.)

The reason for the appointing order containing such explicit directions is that the purpose of the inquiry is to assist the convening authority in performing his administrative duty. It follows, then, that the order convening the investigative body should contain ample instructions in order for the inquiry to accomplish its purpose.

What has been said in this section applies equally to informal investigations, except that an informal investigation may be ordered verbally, instead of by a written appointing order.

Definition of Party

Any member of the naval service whose conduct or performance of duty is subject to inquiry, such as when he is involved in an incident under investigation in a way that disciplinary action may follow, that his rights or privileges may be adversely affected, or that his personal reputation or professional standing may be jeopardized, shall be designated a party before a court of inquiry and MAY be designated a party before a formal investigation.

Any person subject to the UCMJ or employed by the Department of Defense (civilian) who has a direct interest in the inquiry SHALL be designated a party of a court of inquiry, but only upon his own request. A person is said to have a direct interest when the results of the investigation may reflect questionable or unsatisfactory conduct or performance of duty on his part, or when it may relate to a matter over which the person has a duty or right to exercise official control, even though he may not be directly involved in the incident under investigation. He should then request to be made a party if only for his own protection. It may be the only chance he'll have to give his side of the story.

Any member of the Naval or Marine Corps Reserve not subject to the UCMJ by virtue of his status whose conduct or performance of duty is subject to inquiry MAY, upon request, be designated a party before a court of inquiry.

When authorized by the convening authority, any member of an armed force other than the Navy and Marine Corps subject to the UCMJ, any person employed by the Department of Defense, or any member of the Naval or Marine Corps Reserve not subject to the UCMJ by virtue of his status, whose conduct or performance of duty is subject to inquiry, MAY, upon request, be designated a party before a formal investigation.

No other persons may be designated parties unless expressly authorized by the Secretary of the Navy (Judge Advocate General).

It should be noted that there will be parties before a formal investigation ONLY when such status is specifically authorized by the convening authority.

If it is known at the outset that certain persons should be designated as parties, the convening authority names them as such in his appointing order. The power to designate parties, however, does not end there. A convening authority may designate parties at any time throughout an inquiry. A court of inquiry or formal investigation may designate parties throughout the inquiry BUT ONLY if expressly authorized by the convening authority. When it is decided to name a person as a party at some point in the proceedings, the fact-finding body

informs him immediately, giving the reasons, and accords him his rights as a party.

Rights of a Party

A person's rights as a party are similar in many respects to the rights of a defendant in a court-martial. They include the legal "right" to:

1. Be given due notice of designation as a party.
2. Be present during the proceedings, but not when the investigation is cleared for deliberations.
3. Be represented by counsel.
4. Challenge members for cause (courts of inquiry only).
5. Cross-examine witnesses.
6. Introduce evidence.
7. Testify as a witness.
8. Refuse to incriminate himself, and refuse to make any statement regarding any offense of which he is accused or suspected.
9. Make a voluntary statement for inclusion in the record.
10. Make an argument at the conclusion of presentation of evidence.
11. If charged with an offense, be a witness at his own request and not be called as a witness in the absence of his own request (courts of inquiry only).
12. To examine, and to object to the introduction for consideration by the fact-finding body, of physical and documentary evidence and statements or testimony of witnesses.

Each person's rights as a party are explained to him, and if he asks for counsel, one is provided before the inquiry goes any further. The proceedings which have gone before (if a party is designated during the hearing) are made available to the party and his counsel for examination. If it can be done, witnesses he wishes to cross-examine are recalled.

If for some reason a designated party cannot appear, or if he waives his right to appear, notation to that effect is included in the investigative report made to the convening authority. When a party or his counsel is absent for good cause the hearing must adjourn until the party returns or he waives the right to be present. If counsel is absent the inquiry cannot proceed until new counsel is retained or appointed for the party unless this right is waived by the party. The right to appear is waived when a party, having reasonable opportunity to appear, does not make use of the opportunity. Except for cases falling under item 11, a party may be under an official duty to appear when called as a witness; in such a case, the party will then have an opportunity to exercise all pertinent rights; see item 8. In other words, in a case falling under 11, a party may not be called as a witness except upon his own request; in all other cases, a party may be called as a witness but may then exercise his rights, such as refusing to make any statement regarding any offense of which he is accused or suspected. As indicated in the list of rights of a party, item 4 (the right to challenge a member) applies only to courts of inquiry. In formal investigations, a party who has reason to believe that a member of the board or the investigator cannot approach the matter under investigation with an open mind may present the issue and the convening authority will decide the issue and, in appropriate cases, replace the member.

Failure to designate a person as a party (to inform him that he is a party and tell him what his rights are) may preclude the use of the record of proceedings as evidence in any trial by court-martial. Article 50, UCMJ, on discussing admissibility of evidence in certain cases, states that ". . . . the sworn testimony . . . . may be read in evidence . . . . if the accused was a party before the court of inquiry."

COURT OF INQUIRY

It goes without saying that the president is the presiding officer of a court of inquiry. He administers the oath to counsel for the court, preserves order, decides on matters of routine business, and recesses or adjourns the court as he feels convenient and proper. Should another member object to one of his decisions, the vote of the majority governs; if the vote results in a tie, the decision of the president governs (except that in the case of a challenge, a tie vote disqualifies the challenged member).

COMMANDER AMPHIBIOUS FORCE
UNITED STATES ATLANTIC FLEET

(File information)
___Feb 19___

From: Commander Amphibious Force, U. S. Atlantic Fleet
To: Rear Admiral J____B. T_____, USN, 000000/1100

Subj: Court of Inquiry to inquire into the circumstances surrounding an explosion which occurred in USS_____ (_____), on_____February 19____

Ref: (a) JAG Manual

1. In accordance with section 0402 of reference (a), a Court of Inquiry is hereby appointed to inquire into the circumstances surrounding an explosion which occurred in USS_____ (_____), on__February 19____. The Court will convene in USS_____ (_____), at 1000 on__February 19___, or as soon thereafter as practicable.

2. The Court shall consist of you as president, Captain D_____ E. F_____, USN, 000000/1100, and Captain G_____H. I____, USNR, 000000/1105, as members. Commander J_____K. L_____, JAGC, USN, 000000/2500, a lawyer qualified in the sense of article 27(b) of the Uniform Code of Military Justice, is hereby designated counsel for the court.

3. The court is directed to inquire into all the facts and circumstances connected with the explosion, the damage resulting therefrom, and deaths of and injuries to naval personnel; as appropriate, to perform the duties of an inquest; and to fix individual responsibility for the incident. After deliberation the Court shall submit its findings of fact, opinions and recommendations. The Court will express its opinion as to the line of duty and misconduct status of any injured personnel and will recommend administrative or disciplinary action, as appropriate.

4. The Court is directed to notify Commander M_____N. O_____, USN, 000000/1100, of the time and place of the meeting of the court and that he is a party to the inquiry and to accord him the rights of a party pursuant to the provisions of section 0304 of reference (a). The court is (not) authorized to designate additional parties to the inquiry during the proceedings (as may be appropriate). (As to the duty of the court to designate parties, attention is particularly invited to section 0302d(2) of reference (a)).

21.41.1

Figure 8-1.—Appointing order.

(File information)

5. The Court is directed to take the testimony of witnesses under oath and to submit a verbatim record of the proceedings.

6. By signed copy of this appointing order, Commanding Officer, USS _____ (_____), is directed to furnish the necessary reporters and other clerical assistance to the Court for the purpose of recording the proceedings and preparing the record of this Court of Inquiry.

A_____J. L_____
Vice Admiral, U. S. Navy
Commander Amphibious Force
U. S. Atlantic Fleet

Copy to:
CINCLANTFLT
CO USS_____ (____)
Members
Counsel
Party

21.41.2

Figure 8-1.—Appointing order—Continued.

In the absence of any member, the court proceeds only when directed by the convening authority. When the absence of a member for more than a short period of time reduces the membership to less than three, the convening authority appoints another permanent member. The rule for composition of a court of inquiry is that there must always be at least three members present. If the number of those present is reduced below three, no business other than adjournment may be transacted.

Counsel for the court arranges for a hearing room and equipment; supervises orderlies and clerical assistants; calls witnesses and administers oaths; and conducts direct examination of witnesses (except those witnesses requested by a party). The primary responsibility of counsel for the court is to exploit all practicable sources of information to bring out all the facts in an impartial manner.

Counsel for a party represents the party to the best of his ability, safeguarding his interests by all honorable and legal means. Unless the party waives his right, court does not proceed in the absence of party's counsel.

General Rules of Procedure

In conducting the inquiry, the court is not bound by the strict rules of evidence prescribed for courts-martial. The court, however, because it must enforce constitutional and statutory

restrictions, generally observes the rules of evidence which apply before courts-martial (MCM, 1969). This ensures orderly procedure and increases the probability of a full, fair, and impartial investigation.

The court assembles at the place and time named in the appointing order. Members take their seats in the same order of seniority as on courts-martial. The appointing order is read and the manner of proceedings decided; usually the court is cleared until this is done. The proceedings are held in open sessions unless the convening authority or the court, for security reasons or other good cause, decides that the entire proceedings or any portion thereof be closed to the public. The fact that the inquiry is held in closed session does not exclude the parties and their counsel.

Parties named in the appointing order are called before the court and the appointing order read to them. Their rights as parties are explained to them by counsel for the court.

Members may be challenged at any time, but for only one reason: that the members cannot approach the inquiry with an open mind and impartiality. If a challenging party wishes to examine the challenged member under oath, he may do so since the burden of proof is on the challenger. Counsel for the court may cross-examine. A challenged member withdraws when the court is cleared for a ruling. When the other members vote on the challenge, the decision is made by majority vote, but a tie vote on a challenge disqualifies the challenged member. If the challenged member is disqualified, he is excused and a report is made to the convening authority. Should a sustained challenge reduce the membership to less than three, court adjourns until the convening authority appoints another member.

Members are sworn by counsel for the court, then counsel for the court (and assistant counsel for the court, if any) are sworn by the president, and the reporter is sworn by counsel for the court. Witnesses and interpreters, if any, are sworn by counsel as they appear. Witnesses are examined as in courts-martial: direct, cross, redirect, recross, examination by the court. Witnesses usually appear in this order: those called by the parties, those called by counsel for the court in rebuttal, those called by parties in rebuttal, and those requested by the court. The order of presentation may be changed so long as the interests of a party are not prejudiced.

Exhibits are numbered consecutively as they are received. Real evidence (knives, firearms, rope) usually are not made a part of the record. Photographs or descriptions are substituted in the record, the items of real evidence sent to the convening authority. If disciplinary action follows, the articles are retained by him for use as evidence at the trial. If no disciplinary action follows, the articles are returned to their owners or disposed of.

When practicable, it is desired that the court visit the scene of any incident being investigated as soon as possible. Since the only purpose of the visit is to acquaint the court with the physical characteristics of the location or incident, testimony usually is not taken during the visit. The reporter, however does play a very important part here. The court must be accompanied to the scene by counsel for the court, the parties and their counsel, and the reporter. As the reporter, you have the job of making such notes and recording such data as the counsel for the court may direct.

After all witnesses have testified, a party may make an unsworn factual statement, either written or oral. This statement is not evidence, and the party is not cross-examined on it.

Counsel for the court and counsel for the party or parties (if parties are involved) may make concluding arguments. Counsel for the court makes the opening argument and, if any argument is made by a party, the closing argument.

INVESTIGATIONS

The method of procedure for investigations is dictated by the contents of the appointing order and the circumstances of each case. The senior officer of the board acts as senior member, and his duties are almost the same as those of the president of a court of inquiry.

In an informal investigation, the investigator or the board of investigation determines the method of procedure. If they wish to use hearing-room methods, as in a court of inquiry or in a formal investigation, they may do so; if

they believe that signed statements of witnesses, rather than direct testimony, are acceptable, they may use that method. They may even combine the two methods. An informal board or informal one-man investigation may administer oaths to witnesses unless the convening authority directs otherwise. The members of formal and informal boards are not sworn. Remember, parties may not be designated in an informal investigation.

As discussed earlier in this chapter, parties in a formal investigation have no right of challenge. When a party, however, has reason to believe that a member of the board or the investigating officer cannot approach the investigation with an open mind, this issue must be reported to the convening authority for a determination and possible replacement of the member. In a board of investigation, a party may examine the member on the issue; but a party has no such right in a formal one-officer investigation. Except that there is no right of challenge, the rights of a party generally remain the same regardless of the method of procedure. One other exception was noted above under "Rights of a Party": if a party is charged with an offense, he may not be called as a witness in a court of inquiry except at his own request. In other JAG Manual investigations, a party may be called as a witness but may refuse to incriminate himself and to make any statement regarding any offense of which he is accused or suspected (regardless of whether such statement would incriminate him). When an investigation is conducted in such a way that no formal hearing is held, a party, in lieu of the right to "be present during the proceedings," is allowed to examine all evidence before the investigative report is prepared.

As far as obtaining evidence goes, the rules are the same for formal investigations as for courts of inquiry. Although informal investigations are not so rigidly governed, they must still enforce the same constitutional and statutory restrictions as the court of inquiry; they may obtain evidence through such means as formal testimony of witnesses, informal personal interview, correspondence, and telephone inquiry. In case of the last, though, the substance of the evidence (telephone information) must be reduced to writing and be signed by the investigator, showing the time and date of the call.

There are bound to be times when a witness whose testimony is needed cannot attend a hearing in person. An affidavit of such witness may be received in evidence by the court of inquiry, board of investigation, or single individual investigation. Should a situation arise in a court or other formal investigation in which the deposition of a witness is desired, the deposition may be taken on oral or written interrogatories, and the procedure is similar to that described in the MCM. The way it is done is as follows:

The counsel (or investigator) requesting the deposition prepares the necessary questions, leaving space beneath each question for an answer by the witness. The questions are submitted to opposing counsel (if any) and the members of the investigative body in order for them to prepare further questions if they desire. When all questions have been prepared, the deposition is in the same form as a witness' direct testimony: direct examination, cross-examination, and questions by the court.

If the witness is a civilian, the deposition is sent to the commandant of the naval district where the witness is located. The commandant's legal officer sends a representative to interview the witness for the purpose of obtaining the answers to the questions. If the witness is in service, the deposition is sent to the witness' commanding officer. After all answers are reduced to writing, the witness and the person "taking" the deposition both sign, and the deposition is returned to be read into evidence in open court.

Members of fact-finding bodies, other than courts of inquiry, need not be sworn.

INVESTIGATIVE REPORTS

Courts of inquiry and, subject to the instructions contained in the appointing order, formal investigations prepare a record of proceedings which includes the testimony of witnesses and all procedural occurrences such as challenges (in a court of inquiry), statements of parties, and arguments. Informal investigations prepare an investigative report in naval letter form with summarized or verbatim testimony of witnesses enclosed therewith.

After all the evidence is in and all statements and arguments received, the fact-finding body considers the evidence and re-examines the instructions in the appointing order.

A fact-finding body always reports its findings of fact; that's the reason it was convened. The members recheck the appointing order to be sure they have covered the full scope of the inquiry and to be sure the order calls for opinions and recommendations before these are included in the report.

Findings of Fact

Findings of fact include only those facts which the fact-finding body believes the evidence establishes. A fact, to be shown as such, need not be proved beyond a reasonable doubt; substantial evidence in the record is adequate. The findings must be specific as to times, places, persons, and events. Each fact should be made a separate finding, except that the time and place of an incident may be grouped into one finding.

Opinions

When the appointing order calls for opinions, all conclusions or opinions drawn from the facts are shown. Opinions may include inferences drawn from the facts, opinions as to performance of duty, and opinions as to function of equipment involved.

In certain cases, opinions are required by statute. When investigating a complaint of willful damage to property, for example, the fact-finding body is required by the provisions of Article 139, UCMJ, regarding redress of injuries to property, to state its opinion as to the amount of damage. If the convening authority approves the report, this amount may be charged against the pay of the offenders not to exceed $250.00 per offender for any single act or incident.

Again in each case of injury or disease requiring investigation, opinions must be given concerning the line of duty and misconduct status of the injured or diseased person.

In cases of death, no statement of opinion relating to misconduct and line of duty status of the deceased is required or expressed.

When death or injury cases are investigated, an opinion must be stated whether the death or injury was caused by the intent, fault, negligence, or inefficiency of any person or persons in the naval service or connected therewith.

Recommendations

When the appointing order calls for recommendations, the fact-finding body makes such recommendations as are specifically directed and any others that seem advisable in view of the nature of the facts found. If any member recommends trial by court-martial, a charge sheet, signed and sworn to by a member who so recommends, is prepared and submitted to the convening authority with the record of proceedings.

Disagreement Among Members.—The report of a court of inquiry or a board of investigation consisting of more than two members is based on the opinion of the majority. Any member not agreeing with the majority appends a signed minority report, stating the parts of the majority report with which he disagrees and giving his reasons.

If there are two members of a board of investigation and they cannot agree on the final report, the record is signed by the senior member, the junior member submitting a dissenting report as above.

Examples of findings of fact, opinions and recommendations, including a dissenting report, appear in figure 8-2.

RECORDS OF COURT OF INQUIRY AND FORMAL INVESTIGATION

The record of proceedings of a court of inquiry or of a formal investigation includes the original appointing order; any other communications from the convening authority; an accurate transcript of the proceedings, including the verbatim testimony; the findings of fact; opinions and recommendations, if required; and any documents and exhibits necessary to complete the record; all in the order given. A copy is made of the findings of fact, opinions, and recommendations and is prefixed to the front of the record. See figure 8-3.

FINDINGS OF FACT

1. That merchandise valued at about $150 was stolen from the ship's store during the period from 1 May 19__ to 7 May 19__.
2. That Elton Q. Jones, SH3, was assigned responsibility for the ship's store during that period.
3. .....
4. .....

OPINIONS

1. That Jones unlawfully took merchandise valued at about $150 from the ship's store.
2. .....
3. .....

RECOMMENDATION

1. That Elton Q. Jones, Ship's Serviceman third class, U.S. Navy, be brought to trial by special court-martial on the charge of violation of Article 121, Uniform Code of Military Justice. The appropriate charge sheet, signed by the senior member of this board as accuser, is forwarded herewith.

A_____ B. C_____
Commander, U.S. Navy,
Senior Member

I agree with the findings, opinions, and recommendation of the board except in the following respects:
1. I disagree with paragraph 3 of the board's findings because.....
2. I disagree with paragraph 2 of the board's opinions because.....

D_____ E. F_____
Lieutenant, U.S. Navy, Member

138.10

Figure 8-2.—Examples of findings of fact, opinions and recommendations.

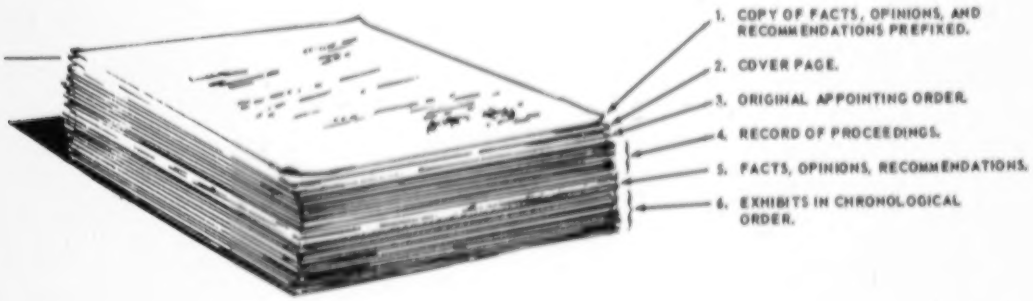

1. COPY OF FACTS, OPINIONS, AND RECOMMENDATIONS PREFIXED.
2. COVER PAGE.
3. ORIGINAL APPOINTING ORDER.
4. RECORD OF PROCEEDINGS.
5. FACTS, OPINIONS, RECOMMENDATIONS.
6. EXHIBITS IN CHRONOLOGICAL ORDER.
21.42

Figure 8-3.—Record of Court of inquiry and formal investigation.

Unless there is a minority or dissenting report, all members sign the record immediately under the findings of fact, opinions, and recommendations. The record is authenticated by the president and counsel for the court.

REPORTS OF INFORMAL INVESTIGATIONS

The report of an informal investigation is submitted in letter form to the convening authority. It consists of a preliminary statement; the findings of fact, opinions and recommendations (when required); and enclosures.

The preliminary statement sets forth the nature of the investigation and details concerning the difficulties encountered, if any, and any limited participation by a member. This preliminary statement contains any information necessary for a complete review of the case, since most of the data are not contained in the enclosures. It also informs the reviewing authorities that all legal requirements have been met.

The signatures of the members to the basic report constitute authentication of all enclosures.

The first enclosure to the report is the original appointing order. The following enclosures contain all evidence developed by the investigation. Each affidavit, deposition, each witness' testimony, each statement, and each argument is contained in the record as a separate enclosure. Each item of documentary evidence and each exhibit is also a separate enclosure. (See fig. 8-4.)

SUBMISSION OF RECORDS

The record of proceedings or the investigative report is sent to the Judge Advocate General via the convening authority and other reviewing authorities. The number of copies to be made and forwarded depends on the subject matter of the inquiry and the number of reviewing authorities. This information you obtain from the counsel for the court. Extra copies are usually needed, for instance, if the case involves redress for damages to property, or if the inquiry serves as a pretrial investigation for a general court-martial. In case of the latter, once trial by GCM has been ordered, any party having been recommended by the fact-finding body for trial is entitled to a copy of the record.

The convening authority forwards the complete original record of proceedings to the Judge Advocate General, Navy Department, Washington, D.C. 20370, via appropriate reviewing authorities. In serious cases, and others where he considers the Navy Department should have advance information, the convening authority forwards an advance copy to the JAG upon receipt of the record.

Obligation of Secrecy

If you at any time participate in an investigation in any capacity, you may not publish or disclose to anyone any finding, opinion, or

1. LETTER REPORT TO CONVENING AUTHORITY INCLUDES FACTS, OPINIONS, AND RECOMMENDATIONS.
2. ENCLOSURE (1), ORIGINAL APPOINTING ORDER (IF ISSUED).
3. TESTIMONY, ARGUMENTS, STATEMENTS, EXHIBITS, EACH ITEM IS A SEPARATE ENCLOSURE. FIRST ITEM IS ENCLOSURE (2), IF APPOINTING ORDER WAS ISSUED.
21.43

Figure 8-4.—Report of informal investigation.

recommendation contained in the record without permission of the Secretary of the Navy (Judge Advocate General).

ACTION BY REVIEWING AUTHORITIES

Each reviewing authority, including JAG, will take action on the record by letter endorsement. Generally, the action is one of the following:

Return of the record for additional proceedings. The endorsement returning the record contains explicit instructions as to the action desired.

Comments and approval. If no additional proceedings are directed, the convening and reviewing authorities state their comments and record their approval or disapproval, in whole or in part, of the proceedings, findings, opinions, and recommendations. Each reviewing authority states what action he has taken, will take, or recommends as a result of matters disclosed in the record, including disciplinary action of any nature.

MISCONDUCT AND LINE OF DUTY

Cases of injury resulting in loss of time from duty not exceeding 24 hours require no investigative report by a fact-finding body unless such report is required for a different reason as listed below.

Cases of injury resulting in loss of time for more than 24 hours, but not likely to result in permanent disability or, in the case of injury resulting from enemy action even if likely to result in permanent disability, require no investigative report by a fact-finding body if both medical officer and commanding officer are of the view that the injury was incurred in line of duty without misconduct on the part of the member and if there are no other circumstances as listed below which require an investigative report. The pertinent factual and medical details are recorded in the Health Record of the individual.

In cases in which an investigative report is not required, a preliminary investigation may have to be made so that the commanding officer can determine the line of duty and misconduct status.

Cases of injury which may result in permanent disability require an investigative report; however, if medical officer and commanding officer are of the view that the injury was incurred in line of duty without misconduct on the part of the injured member, and if there are no other circumstances as listed below which require an investigative report, the case is reported by way of an Injury Report, a two-page form filled out by the medical officer and the commanding officer and then forwarded via the officer exercising general court-martial jurisdiction to the Judge Advocate General.

Cases of injury require an investigative report by a fact-finding body when:

- Loss of time from duty exceeds 24 hours and the injury may have been incurred due to misconduct of the member or not in the line of duty.

- The injury resulted from enemy action under circumstances suggesting misconduct or not in line of duty.
- The injury resulted in death. (The Death Report Form may be utilized to report the circumstances when the medical officer and commanding officer are of the view that the death was incurred in the line of duty without misconduct, not apparent suicide, or did not occur as the result of enemy action). However, while an investigative report is required, the findings of fact are not followed by opinions as to line of duty or misconduct.
- The injury was incurred under unusual or peculiar circumstances.
- The injury causes an adverse reflection on the conduct or performance of members of the naval service or connected therewith.
- The injury was incurred by members of the Naval Reserve or Marine Corps Reserve en route to or from a period of active duty, training duty, or an inactive-duty training (drill) period.
- Claims are possible for or against the Government under Chapters XX through XXIII of the JAG Manual.
- There is any question of the mental responsibility or mental capacity of the injured party.
- Convening or higher authority determines that the best interests of the naval service or the individual would be served by an investigative report.

Every case of death from injuries or under peculiar circumstances; every case of disease or injury due to vicious habits, intemperance, or other factors suggesting misconduct or actions not in line of duty MUST be investigated by a fact-finding body. And in cases involving injury, determination must be made by the body as to misconduct and line of duty.

In any formal investigation which might possibly result in an opinion of misconduct or not in line of duty, the injured person is designated a party and accorded his rights as such.

In any informal investigation, if the convening authority has substantial doubts that the injury was incurred in line of duty or not as the result of misconduct, then he must afford the member a hearing.

An adverse finding as to misconduct and line of duty is never applied as a punitive measure. Any disciplinary action is taken independently of such determination. In fact, a favorable finding doesn't always mean that disciplinary action won't be taken.

Misconduct

Ordinary negligence or carelessness is not misconduct. Misconduct means intentionally wrongful conduct or gross negligence. Even when an act violates a regulation or order, it does not mean that the act in question automatically involves misconduct. To support a fact-finding body's opinion of misconduct, the wrongful conduct must be found to have been a proximate cause of the injury or disease (i.e. the misconduct must have directly caused injury, etc. that otherwise would not have occured). Furthermore, the wrongful conduct must be such that it could have been reasonably foreseen that injury, or disease might result. If the injury or disease was caused by something not reasonably forseeable at the time the act of apparent misconduct was committed, the act may not be considered as a proximate cause of the injury of disease.

Conjecture, guesswork, or inference is not enough for a finding of misconduct. Until found otherwise, it is always presumed that injury or disease is not the result of misconduct. There must be clear and convincing evidence that the injury or disease is the proximate result of the person's misconduct.

With the exception of the foregoing paragraph then, injury or disease, in order to support an opinion of misconduct, must:

- Be intentionally incurred by wrongful conduct or result from gross negligence.
- Be the proximate result of the member's action.
- Have been reasonably foreseeable as the result of the act.

Line of Duty

Whether or not misconduct is involved becomes an integral part of the line of duty determination. For instance, if it is found that

misconduct is involved, the act cannot have been committed in the line of duty. Conversely, if the investigating body gives as its opinion that a particular act was done in the line of duty, it may not at the same time say that misconduct was involved.

An act may be done not in the line of duty, but not necessarily as a result of misconduct. If a man is innocently injured in a traffic accident ashore, for instance, after having been on unauthorized absence for several days, the finding would probably be not in line of duty (since he was on unauthorized absence which exceeded 24 hours), but not due to own misconduct (since the injury was certainly not intentional or through gross negligence).

The determination is always not in line of duty if the injury or disease is found to have been incurred:

- As a result of misconduct.
- While avoiding duty by deserting the service; or while absent without leave and such absence materially interfered with the performance of required military duties; there is a rebuttable presumption for or against such material interference dependent on whether the unauthorized absence exceeded 24 hours or not, respectively. Note: The element of material interference is inapplicable in regard to physical disability separation and retirement benefits so that a disability incurred during desertion or unauthorized absence of any duration will result in ineligibility for those benefits.
- While confined under sentence of GCM involving an unremitted dishonorable discharge.
- While confined under sentence of civil court following conviction of a felony.

Three Determinations

A fact-finding body can arrive at only one of three possible determinations:

1. In line of duty, not due to own misconduct.
2. Not in line of duty, not due to own misconduct.
3. Not in line of duty, due to own misconduct.

Deaths

In cases of death, a fact-finding body does not express opinions concerning the misconduct or line of duty status of an individual in the report of investigation of his death or in any endorsement thereon. However, eligibility for payment of certain Federal benefits that may be due survivors is determined by the Veterans Administration on the basis of conclusions derived from the facts contained in the record or proceedings.

CASUALTIES

A casualty occurs when the services of a person in the Navy are lost through death, wounds, injury, sickness, internment, capture, or through a missing in action status.

When a casualty occurs, the Chief of Naval Personnel, as outlined in the BuPers Manual, requires that certain steps be taken to ensure proper notification of the next-of-kin.

REPORTING OF CASUALTIES

Upon learning that a serious casualty or death has occurred, the officer in command is responsible for prompt notification to the Chief of Naval Personnel via priority message. He also takes immediate action to initiate a message of notification to the next-of-kin. This reporting procedure applies to Navy personnel who are:

- on active duty
- on active duty for training
- on inactive duty training, or
- traveling directly to or from such duty at the time of injury or death.

In the event a naval member is seriously injured or killed while away from his command, the naval activity which first becomes aware of the casualty is responsible for notifying the member's command and also for informing BuPers by priority message.

Death of members of the Fleet Reserve and Naval Reserve, retired personnel, and those on the Temporary and Permanent Disability Retired Lists is reported by message to BuPers

by the nearest naval activity. Information message copies are forwarded to the:

- Secretary of the Navy
- Chief, Bureau of Medicine and Surgery
- Commanding Officer, Naval Reserve Manpower Center
- Navy Finance Center, Cleveland
- Local State Department representative (when death occurs in a foreign territory.)

This action is taken to ensure removal of the individual's name from the rolls of the Navy Department. Steps are taken to close out all records and accounts, and to ensure that prompt action is taken with respect to survivor benefits.

Missing personnel are those who are not voluntarily absent but whose whereabouts or actual fate is unknown. They are considered to be in a temporary casualty status. If the person remains in a missing status, his commanding officer must execute a casualty report to the Chief of Naval Personnel. This report must be initiated not later than four hours after the commanding officer receives notification that an individual is missing.

MEMBERS OF OTHER SERVICES

Personnel of other military branches who become casualties while serving with a naval command are reported as such by the commanding officer of that activity. The report is forwarded to the individual's particular branch of service. As an example; a Marine attached to the Thirteenth Naval District Headquarters, Seattle, Washington, is killed in an automobile accident. His death is reported by the Commandant, Thirteenth Naval District, to the Commandant of the Marine Corps. Copies of the report are forwarded to the Chief of Naval Personnel and the Bureau of Medicine and Surgery. Army personnel serving with the Navy who become casualties are reported as such by the naval command in which they are serving to the Adjutant General, Department of the Army, with information copies to the Chief of Naval personnel and the Bureau of Medicine and Surgery.

Presently, foreign personnel are attached to many of our naval activities. Casualties occuring to foreign personnel are reported by their commanding officer directly to the Chief of Naval Operations.

CORRESPONDING WITH NEXT-OF-KIN

The next-of-kin casualty notification is made within 24 hours by a uniformed member of the Navy. Except for unusual circumstances notification is made not earlier than 0600 or later than 2200. In the event notification of the next-of-kin cannot be made within 24 hours, the command notifies the Chief of Naval Personnel by telephone explaining the reason(s) for the delay.

Notification of the next-of-kin must be confirmed in writing by personal delivery of a telegram or other official correspondence. A casualty notification may be made by telephone provided the next-of-kin are already aware of the individual's condition and that hospitalization is within CONUS. Under no circumstances will the next-of-kin be notified of death by telephone.

Responsibility for notifying the next-of-kin is dependent upon the geographical location of the casualty. The table below indicates who is responsible for stateside and overseas reporting.

- Command or Activity located within CONUS

When next-of-kin Reside	Who Notifies
Immediate vicinity	Commanding Officer
Away from command	Commanding Officer
Outside CONUS	Shore based commander

- Command or Activity located outside CONUS

When next-of-kin Reside	Who Notifies
Overseas at or near command	Commanding Officer

When next-of-kin Reside	Who Notifies
Overseas beyond immediate vicinity of command	Shore based commander nearest next-of-kin
Within CONUS	BuPers

CASUALTY ASSISTANCE CALLS PROGRAM

The Casualty Assistance Calls Program (CACP) is the Navy's system for reporting serious injuries and fatalities by proper authorities to the next-of-kin. The Chief of Naval Personnel maintains technical control; and the Commandant of each naval district is responsible for management of the CACP. This program requires that each command shall designate an officer to assist the next-of-kin of a member who dies or is declared missing while serving on active duty.

PURPOSE

The Casualty Assistance Calls Program has two aims. These aims are to both advise and assist the next-of-kin regarding their rights, benefits, and privileges.

The duties of the Casualty Assistance Calls Officer (CACO) in a case of death are to:

- Offer condolence on behalf of the Navy
- Provide needed advice and counsel on funeral arrangements
- Provide emergency financial assistance
- Give needed assistance in filing claims

In the event personnel are placed in a missing status, the CACO will:

- Act as liaison between the Chief of Naval Personnel and the next-of-kin.
- Determine allotment changes required for those next-of-kin who are dependent on the missing member.
- Make contact at least once a month with the next-of-kin of personnel who have been missing for an extended period of time to determine if any new problems exist.

COMMANDANT RESPONSIBILITY

When a naval command has suffered a casualty, that command must initiate a message to the Chief of Naval Personnel and at the same time notify the Commandant of the Naval District in which the next-of-kin reside. The Commandant then designates the naval activity closest to the next-of-kin to accomplish the personal notification.

Although notification to the next-of-kin is normally the responsibility of an officer assigned as the CACO, a well qualified senior enlisted person may also act in this capacity.

Operation

To visualize the operation of the Casualty Assistance Calls Program (CACP), let us assume that death has occurred to a member of the Navy while he was serving in a ship tied up at the Long Beach Naval Station. The commanding officer immediately drafts a casualty message to the Chief of Naval Personnel and also to the Commandant, Thirteenth Naval District. The casualty's next-of-kin reside in Nome, Alaska, therefore, the Commandant, Thirteenth Naval District assigns a Casualty Assistance Calls Officer. Since the Navy Recruiting Station, Anchorage, Alaska is the closest naval activity to Nome, the Commandant would likely assign the Officer in Charge, Navy Recruiting Station, Anchorage, as his Casualty Assistance Calls Officer. The Officer in Charge at Anchorage has now assumed the responsibility for personal notification of the next-of-kin. He may do this personally or he may assign a senior, well qualified enlisted man to offer condolence, advice, and assistance on behalf of the Navy.

On the other hand, the commanding officer of the Long Beach based ship would assign one of his officers as the Casualty Assistance Calls Officer if the next-of-kin were residing within the immediate vicinity of Long Beach. In the event deployment is imminent, the commanding officer would request the Commandant, Eleventh Naval District to handle the case. This action is taken because it is often necessary for the CACO to assist the family over an extended period.

DECEDENT AFFAIRS AND HONORS

The Bureau of Medicine and Surgery (Decedent Affairs Branch) is responsible for return of the deceased, the condition of the remains, payment of funeral expenses, and assignment of escorts. Funeral and burial expenses incurred by the next-of-kin are reimbursable but the amount is dependent upon the burial location. Reimbursement for burial in a private cemetery cannot exceed $625.00. A maximum of $375.00 is allowed if the remains are assigned to a funeral director prior to burial in a national or government cemetery, or for burial at sea. If the remains are not assigned to a funeral director, reimbursement for expenses must not exceed $75.00. When the remains are not recovered, the cost that may be incurred for a memorial service is reimbursable at a rate not to exceed $250.00.

The flag used to drape the casket in a military funeral may be obtained through the Navy, VA regional offices, or at most post offices. When remains are returned from an overseas area, the flag is obtained at the port of entry.

When requested by the next-of-kin, a headstone or memorial marker for use in a private cemetery will be provided by the Department of the Army. Burial in a national cemetery such as Arlington requires no action on obtaining a grave marker since the headstone is automatically furnished by the government.

Military honors are rendered in each case when death occurs to personnel while serving on active duty. For example; when death results due to combat or combat support operations, a rifle squad consisting of six uniformed men, with a petty officer in charge and when possible a bugler, are provided. In addition, if the next-of-kin desire, a total of six uniformed pallbearers are also provided. For all other active duty deaths, a ceremonial guard is provided whenever possible. An exception to this rule pertains to active duty personnel who die under conditions other than honorable. In such cases, the Chief of Naval Personnel makes the final determination as to what honors, if any, are to be rendered.

DEPENDENT BENEFITS

There are certain benefits which the next-of-kin may be entitled to, among them are:

- Death gratuity
- Unpaid pay and allowances
- Unused leave
- Dependency, and indemnity compensation
- Social security
- Insurance
- Identification card(s)
- Dependents travel
- Household and vehicle shipment
- State bonus

The death gratuity is referred to as immediate financial assistance to the next-of-kin. Payment is made by the local disbursing office if the next-of-kin express, an immediate need for financial assistance. In the event there is no expressed request for immediate financial assistance, it will be paid by the Navy Finance Center, Cleveland, Ohio.

The amount of death gratuity is determined by multiplying monthly base pay times six. Maximum payment is $3000.00. It is paid to the next-of-kin no matter whether death occurred in line of duty or was due to misconduct. Payment is also made to the next-of-kin if a former member dies within 120 days from his date of discharge. However, death gratuity is not payable to a next-of-kin if the member is a declared deserter at the time of death.

Unpaid pay and allowances include per diem, travel, transportation of dependents, transportation of household effects, savings deposits, etc. due a member at the time of death.

Accrued leave payment is included under unpaid pay and allowances, and is payable at the rate of one month's base pay for each 30 days unused leave. Payment may not exceed two month's base pay or 60 days.

DEPENDENCY AND INDEMNITY COMPENSATION

This benefit is payable to eligible survivors of a member who dies from:

- Disease or injury incurred or aggravated in line of duty while on active duty or active

duty for training.
- Injury incurred or aggravated in line of duty while on inactive duty training.
- A disability compensable under laws administered by the Veterans Administration.

Dependency and Indemnity Compensation is payable to a widow with or without children. The rate of payment is based on the pay grade of the deceased.

In the event no widow survives, payment is made to surviving children under 18 years of age at the monthly rate of:

- $92.00 for one child
- $133.00 for two children
- $172.00 plus $34.00 for each child over three

The above payments are normally terminated for each child at age 18. However, if the child is in school or is incapable of supporting himself due to physical or mental disability, the payment can be extended to age 23.

SOCIAL SECURITY BENEFITS

Social Security is handled by the Bureau of Old-Age and Survivors Benefits, Social Security Administration, of the Department of Health, Education, and Welfare. The amount a survivor receives depends upon the deceased member's average monthly earnings which are obtained from the Navy Finance Center, Cleveland.

In addition to monthly payments, a lump-sum payment may be made to the widow or widower if the spouses had the same home at the time of death. If they were not sharing the same household, lump-sum payment is made to the person or persons who paid the expenses for burial. Lump-sum payment may not exceed $255.00. If there is no eligible survivor, this payment can be made only in the amount which exceeds the cost of burial paid by the Navy.

IDENTIFICATION CARDS

An identification card is normally issued to the widow of a person who dies while on active duty. A card is also issued to each dependent, age 10 through 21. The identification card carries with it entitlement to uniformed and civilian medical care, theater, and commissary and exchange privileges.

The widow of a naval reservist who dies while on active duty for a period of 30 days or less is not entitled to medical care but may qualify for all other benefits. Upon re-marrying, the widow forfeits all entitlement to further benefits.

DEPENDENT TRAVEL

Travel for dependents of a deceased active duty member is borne by the Government when such travel is to be performed for the purpose of establishing a residence. The cost involved for this transportation is payable from the place notification of death was received to a point designated by the dependent.

HOUSEHOLD AND VEHICLE SHIPMENT

Unless the time limit is extended by the Commander, Naval Systems Command, household goods and vehicle of a person who dies while on active duty is shipped within one year to the home of record, next-of-kin, or to the person entitled to custody. The next-of-kin of a person who is absent for at least 30 days in a missing status, or interned in a foreign area, are also entitled to the same shipment.

STATE BONUS

Information and application procedures on a Veteran's state bonus payable to the next-of-kin is obtained from the Secretary of state of the particular state involved. It may also be obtained from a state veterans service organization.

CHAPTER 9

SECURITY

"You have been given two ears, two eyes and but one tongue - to the end that you should hear and see more than you speak."

INTRODUCTION

The Security Orientation, Education and Training Program was designed to help you develop security discipline, and a strong sense of personal responsibility in handling classified material.

PURPOSE

All personnel who have been granted access to classified material must be knowledgeable as to security orientation, education, and training. This program is designed to:

- Familiarize all personnel granted access to classified information with proper security measures necessary in performing their duties.
- Remind all echelons of command of their responsibility for ensuring that classified information is effectively and economically safeguarded.
- Insure conscientious and willing compliance with security regulations, procedures, and practices.
- Remind commands of their responsibilities in proper classification, upgrading, downgrading, and declassification procedures as outlined in chapter 4 of OPNAVINST 5510.1D.
- Inform personnel with access to classified material of the hazards involved due to unauthorized disclosure, and impress on these personnel their responsibility in protecting classified documents.
- Inform personnel of their responsibility to report attempts by foreign agents to obtain U.S. classified information.
- Familiarize personnel with the techniques and devices used by foreign agencies to obtain classified U.S. information.
- Advise personnel against using the telephone as a means of transmitting or discussing classified material.
- Make personnel aware of the disciplinary action which may result from unauthorized disclosure of classified documents.

RESPONSIBILITY

Commanding Officers are held responsible for proper indoctrination of personnel in safeguarding classified material. However, you, as the senior YN in your office, are responsible for proper indoctrination of personnel under your supervision. You must be sure that your men are fully aware and execute a policy of strict compliance with all security regulations at all times.

Effective security is accomplished when you recognize, and understand, and apply the requirements that preclude compromise and subversion. Some individuals who work with classified information on a daily basis sometimes become careless in employing proper safeguard measures. When you see this happen in your office, take corrective action immediately.

EFFECTIVE SECURITY

A primary objective in organizing and conducting an effective security program should be to impress on your personnel that security is not something separate and apart from their other duties, – it is a natural element of every duty they perform.

An effective security program will assist you in making your men "security conscious" at all times. There are various approaches to organizing a security program which has real meaning and creates a lasting impression on your men. Posters, cartoons, charts and films are effective tools if properly used. Figures 9-1 through 9-5 are shown as examples.

When you use posters, place them in areas of maximum travel, and always at eye level. Use various types and rotate them often to combat boredom. A person becomes "security conscious" only when you stimulate his interest and provide motivation for personal involvement.

When you have instilled a sense of self-responsibility in your men, a trait which eliminates carelessness, ignorance, or plain indifference, you have accomplished "security consciousness."

Effective security can only be achieved when personnel know the HOW, WHEN, and with WHOM to discuss classified information.

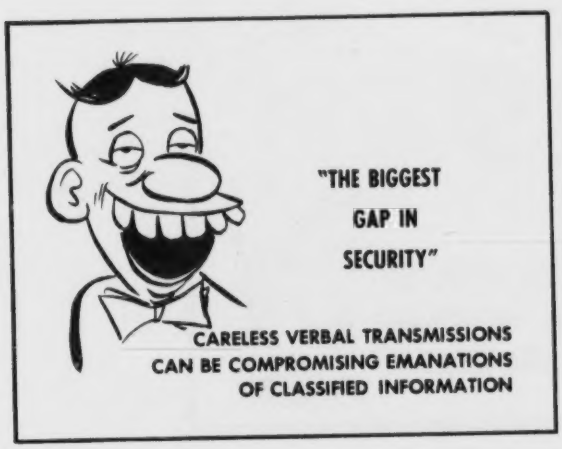

"THE BIGGEST GAP IN SECURITY"
CARELESS VERBAL TRANSMISSIONS CAN BE COMPROMISING EMANATIONS OF CLASSIFIED INFORMATION

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Figure 9-1.

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Figure 9-2.

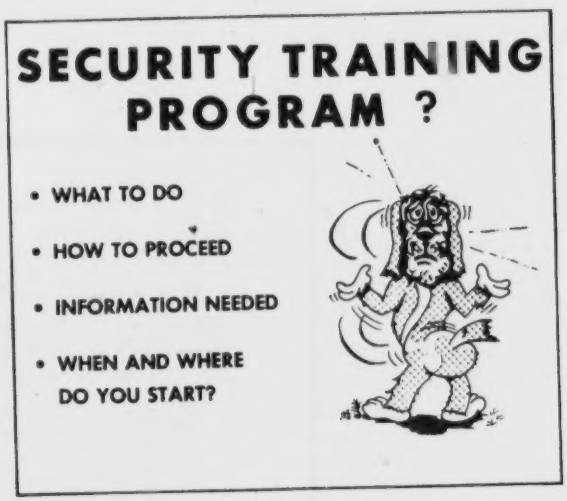

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Figure 9-3.

BRIEFINGS

Required security briefings take the form of:

- Indoctrination briefings
- Security briefings

- Foreign travel briefings
- Potential Hostage briefings

Indoctrination briefings are a must for personnel whose job requires access to classified material. The briefing should be conducted shortly after a person checks aboard his duty station and before he is granted access to classified information. Indoctrination briefings are also necessary for personnel who, although not required to have access to classified material, are closely associated with cleared personnel, or who are attached to a command, the primary mission of which involves highly classified material and information. The indoctrination briefing places emphasis on:

- Personnel having knowledge of classified defense information must not disseminate it until it has been determined that the recipient has the appropriate security clearance and needs the information to perform his official duties. Each person has the responsibility for making this determination.
- Non-possession of classified information unless he has the necessary clearance and a need for the information in the performance of his duties.
- Making the individual keenly aware of his moral and legal responsibility for any classified material or information he may have in his possession. That he is required to ensure that such material and information is given the degree of protection which it requires.
- The possibility of espionage and subversion attempts, and the defensive steps that one must take under such attempts.
- Discussion of classified information on the telephone.

SECURITY BRIEFINGS

It is not enough to ensure that an initial indoctrination briefing is accomplished for new personnel; you must **also** ensure that periodic briefings are conducted for all personnel having access to classified information. In addition, security briefings may be appropriate when:

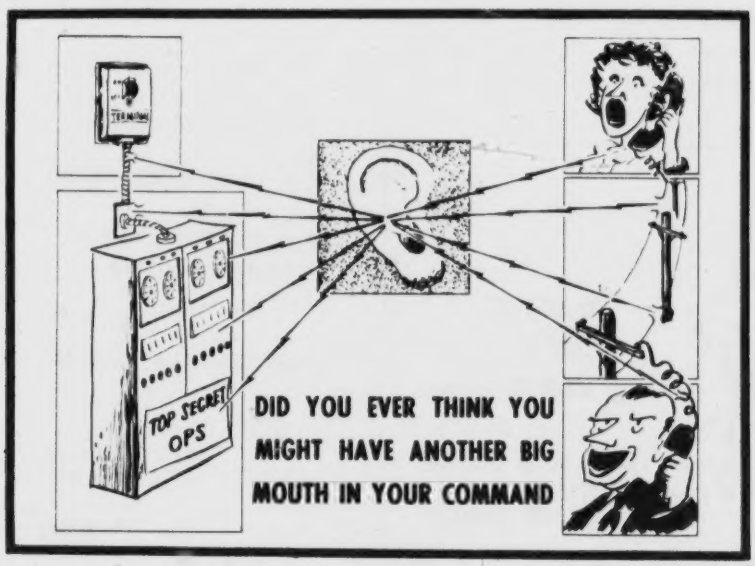

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Figure 9-4.

- An abnormal number of security violations occur.
- There is an increase in quantity or sensitivity of classified information being handled or,
- When the mission of a command increases in terms of security risk involvement (personnel or physical).

It is of paramount importance during a security briefing to impress upon the persons the need to promptly report suspected or known attempts by unauthorized personnel to obtain classified information.

FOREIGN TRAVEL BRIEFINGS

When travel is to be performed through communist controlled countries, the commanding officer must assure that the person who is to perform this travel undergoes a defensive Foreign Travel Briefing prior to departure. In the interest of national security, and when deemed appropriate by the commanding officer, dependents may also be provided with the same briefing. It should place special emphasis on the various areas of interest to hostile intelligence services, the techniques used by these services, and on the nature of conduct or activity that could place a person in a compromising situation.

POTENTIAL HOSTAGE BRIEFINGS

When a person has close ties with relatives who reside in a communist country, a potential security problem exists because there is a possibility that communist authorities will threaten the "hostage" relative unless the individual cooperates with the communist intelligence collection effort. A spouse with relatives living in a communist country may also prove to be valuable to the communist intelligence community. Close relatives are considered to be an individual's parents, spouse, child, brother or sister, or the parent, child, brother or sister of the individual's spouse at the present time.

To lessen the risks involved, a program of defensive briefing has been established for the purpose of alerting personnel who may be subject to hostage pressure and for ensuring that any attempt of coercion is promptly reported to the appropriate authority.

If a security clearance is being initiated for a person who has relatives residing in a communist country, the commanding officer must ensure that the Naval Investigative Service is so informed to enable them to conduct the Potential Hostage Briefing as a part of the security clearance investigation.

Military personnel who receive the command-administered defensive briefing must sign three certified copies of the briefing form which is obtained from the Naval Investigative Service. The executed copies are distributed:

- First copy to individual's service record.
- Second copy to BuPers.
- Third copy to the Director, Naval Investigative Service.

When the Naval Investigative Service administers the Potential Hostage Briefing, they will forward a copy to the Director, Naval Investigative Service.

DEBRIEFINGS

When personnel no longer require access to classified material, are transferred, or separated from active duty, the commanding officer must ensure that a security debriefing is conducted. The purpose of this debriefing is to inform the individual of his responsibility in protecting classified material he has knowledge of, and serves as a reminder that he is to report to proper authorities any attempt by unauthorized individuals to obtain classified information which he may possess.

DEBRIEFING STATEMENT

The Security Termination Statement (OPNAV Form 5511-14) executed by civilian and military personnel will be accomplished when:

- An individual terminates active military or civilian employment.
- An individual is reassigned from sensitive to less sensitive duties.

- An individual's security clearance is terminated for cause.

When the action described above has been accomplished, the Security Termination Statement becomes part of the person's record. For Naval personnel, the original of the Security Termination Statement is filed in the individual's service record and a copy is placed in the command files where it will remain for a minimum of two years. When the individual is separated from active duty, the Security Termination Statement is forwarded, along with the closed out service record, to BuPers.

ORAL DEBRIEFING

Oral debriefing is accomplished when the commanding officer considers it necessary in safeguarding classified information. It applies to those personnel who have been granted Limited Access Authorizations. This type of authorization grants the individual access to Top Secret, classified defense information (e.g., Crypto), or other sensitive information. The debriefing must be conducted prior to transfer or separation from active military duty.

The oral debriefing is directed solely toward protecting classified defense information and must include the purpose to be accomplished by the debriefing, the serious nature of the subject matter which requires protection, the need for caution and discretion, and advice concerning any travel restrictions which may be applicable.

Each person who is required to undergo an oral debriefing is also required to acknowledge receipt of this debriefing by signing a Security Termination Statement (OpNav Form 5511-14) or termination debriefing forms developed for special access programs.

CLASSIFICATION MANAGEMENT

PURPOSE

The Office of the Secretary of the Navy is responsible for developing, directing, and monitoring the Classification Management Program. The Navy classification program has been established to:

- Provide central policy direction for all aspects of security classification.
- Ensure proper classification of Navy originated defense information.
- Eliminate unnecessary expense to the government and industry in protection and handling of information which no longer requires security classification.

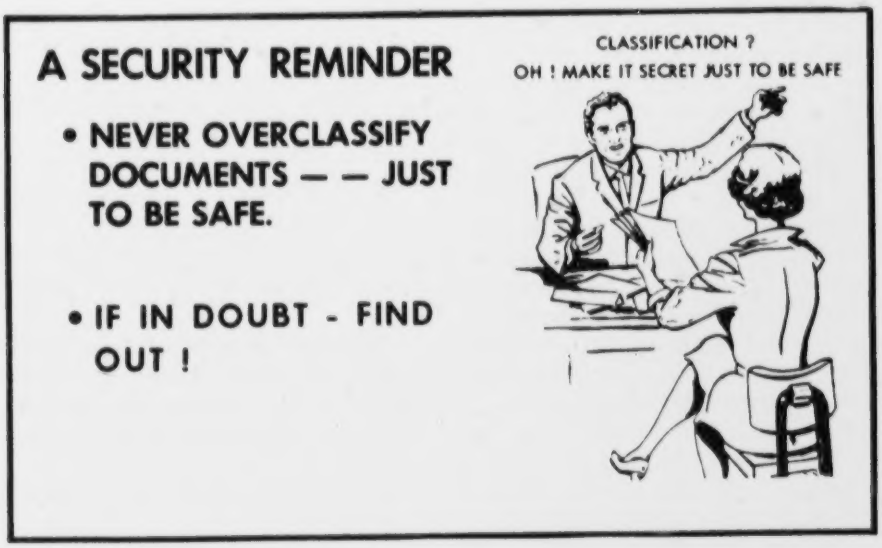
RESPONSIBILITY

Within your command, the commanding officer is responsible for administering the Classification Management Program. The program includes classification, reclassification, and declassification of all classified material.

CLASSIFICATION CRITERIA

Material or information must be classified when one or more of the following are present and the unauthorized disclosure of the information could result in damage to our national defense:

- The information provides the United States, in comparison with other nations, with a scientific engineering, technical, operational, intellignece, strategic, or tactical advantage.
- Disclosure of the information would weaken the international position of the United States, create or increase international tensions contrary to U.S. interests, result in a break in diplomatic relations, or lead to hostile, economic, political, or military action against the United States or its allies, thereby adversly affecting the national defense.
- Disclosure of the information would weaken the ability of the United States to wage war or defend itself successfully, limit the effectiveness of the armed forces, or make the United States vulnerable to attack.
- There is sound reason to believe that other nations do not know that the United States has, or is capable of obtaining, certain information or material which is important to the international posture or national defense of the United States.


A SECURITY REMINDER
• NEVER OVERCLASSIFY DOCUMENTS — — JUST TO BE SAFE.
• IF IN DOUBT - FIND OUT !
CLASSIFICATION ?
OH ! MAKE IT SECRET JUST TO BE SAFE

40.67(138F)

Figure 9-5.

- Information involved is unique, and is of singular importance or vital to our national defense.
- The information represents a significant breakthrough in research and has a military application potential in a new field or may involve a radical change in an existing field.
- There is sound reason to believe that knowledge of the information would:
  - provide a foreign nation with an insight into the war potential or the war defense plans or posture of the United States.
  - allow a foreign nation to develop, improve, or refine a similar item of war potential.
  - provide a foreign nation with a base upon which to develop effective countermeasures.
  - weaken or nullify the effectiveness of a defense or military plan, operation, project, or activity which is vital to our national defense.

DOWNGRADING AND DECLASSIFICATION

A mandatory continuing program based on a time schedule has been established for automatically downgrading and declassifying documents originated within the Department of Defense.

The automatic downgrading and declassification system was instituted to ensure that all classified matter is available to the general public when secrecy is no longer necessary and to relieve the originator of future concern for the classified aspects of documents or material they have produced.

Depending on the contents of the material, classified information is placed into one of four categories. The assigned category indicates whether the material may be declassified automatically in the future, and if so, when.

On 8 March 1972, the President signed Executive Order 11652. The intent of the executive order was that less official information would be classified, more declassified, and that which is classified would be better protected. The Executive Order became effective 1 June

1972. OpNav Note 5510 provides information and interim guidance on the executive order.

As of 1 June 1972, a document assigned to group 1, 2, or 3, and all information or material which is not group marked, is excluded from declassification by the general declassification schedule.

Group-4 documents are generally subject to the general declassification schedule. However, individual items within the body of this material may be exempted from the general declassification schedule if this exemption is determined by a person with top secret classification authority, who has responsibility over the item, and there is enough time for all holders of the information to receive notification of the exemption before the new schedule for downgrading and declassification date or event.

With few exceptions, classified material is conspicuously marked on the front cover or on the first page, with an appropriate downgrading and declassification notice as follows:

Type of Material	Marking
• Group 1,2,3 and all information or material not group marked	Classified by: Exempt from general declassification schedule of Executive Order 11652. Exemption category: (1,2,3, or 4) Declassify on: (effective date or event)
• Group-4 (Item exempted from general declassification schedule)	Downgrade to: Secret on: (effective date) Confidential on: (effective date) Declassify on: (effective date) Classified by:
• Group-4 (Subject to schedule)	Classified by: Subject to general declassification schedule of Executive Order 11652. Automatically downgraded at two-year intervals. Declassified on 31 December (year)

These procedures apply to electrically transmitted messages as well as to other forms of recorded information. The last line or paragraph of the transmitted message must show:

- Declass (specific date day/month/year or event),
- General Declassification Schedule (GDS) (declassification year), or,
- Excempt from General Declassification Schedule (XGDS) (number category)

The schedule for automatic downgrading and declassifying follows:

- TOP SECRET - Information and material shall be downgraded to SECRET two calendar years after origination, downgraded to CONFIDENTIAL four years after origination, declassified ten years after origination.
- SECRET - Information and material shall be downgraded to CONFIDENTIAL two calendar years after origination, declassified eight years after origination.
- CONFIDENTIAL - Information and material shall be declassified six calendar years after origination.

In each instance, downgrading or declassifying occurs at the end of the appropriate full calendar year following the year in which the information or material was originated. Example: A document classified TOP SECRET on 25 February 1973, would be downgraded to SECRET on 31 December 1975, to CONFIDENTIAL on 31 December 1977, and DECLASSIFIED on 31 December 1983.

EXEMPTIONS FROM THE GENERAL DECLASSIFICATION SCHEDULE

The exempted information or material, whether Top Secret, Secret, or Confidential, must fall in one or more categories.

- Furnished by foreign governments or international organizations.
- Specifically covered by statute (eg. Restricted Data and formerly Restricted Data) or pertaining to cryptography, or disclosing intelligence sources or methods.
- Disclosing a system, plan, installation, project, or specific foreign relations matter the continuing protection of which is essential to the national security.
- Disclosure would place a person in immediate OPA.

In each instance, the Top Secret authority specifies by number the exemption category being claimed. Unless circumstances preclude, the classification authority specifies a date or event for the automatic declassification of the information or material involved.

If it becomes necessary to classify information or material by broad category, such as nuclear propulsion data, the classification authority must obtain the approval of CNO.

When possible, the original classifying authority is shown, including if applicable, the identification of the controlling classification guide. If this is not shown, the person who signs or approves the document or directive is deemed the classifier.

All material which is still classified at the end of 30 years is reviewed for declassification. The only way this material may continue as classified is with the approval in writing of the originating department head. In the event the department head determines that the material must continue in a classified state, he must set a specific date for declassification.

APPENDIX I

GRAMMAR REVIEW 146.36

This appendix contains definitions and examples of the most commonly used grammatical terms.

A. PARTS OF SPEECH—Words are classified as follows:

NOUNS—Nouns name anything—persons, places, things, qualities, ideas, acts: John Paul Jones, wife, Norfolk, river, whale, honor, democracy, coordinator, compression. Proper nouns are individual names and are differentiated from common nouns by being capitalized. All other nouns are common nouns.

PRONOUNS—Words that take the place of a noun: he, their, we, its, somebody, who, whatever, which.

VERBS—Words that express action, existence, state, and feeling: read, run, be, become, seem, look, enjoy, like.

ADJECTIVES—Modifiers that describe a noun or indicate a particular individual: blue, young, satisfactory, a, the, this, which. Note that "which" may be either a pronoun or an adjective. This is a trait common to many words in the English language. Their use determines what part of speech they are.

ADVERBS—Modifiers that tell such things as when, where, how, why, how much, etc.: now, here, honorably, consequently, greatly. Adverbs modify verbs, adjectives, or other adverbs.

PREPOSITIONS—Connectives that combine with nouns and pronouns to form modifying phrases: before, to, within, after.

CONJUNCTIONS—Connectives that join words, phrases, or clauses: and, when, after, because.

EXCLAMATIONS—Words that express sudden or strong feeling: oh, ouch.

B. NOUN-VERB COMBINATIONS—A noun or noun substitute (hereafter when "noun" is used it will also imply "noun substitute," which may be a pronoun, noun phrase, or clause) and a verb are necessary to form a complete sentence:

The horse ran.	Who has the watch?
n v	p v

In some cases one or the other may not be physically present but is implied: (You) Haul in the line.
p v

SUBJECT-PREDICATE—The noun indicates who or what did the act, or existed, or felt. The verb is the main word in the predicate. Both subject and predicate may include modifiers. Also, there may be a compound subject, or a compound predicate, or both.

The Army and the Navy participated in joint operations.
n n v

compound subject — simple predicate

The instructor explains and demonstrates.
n v v

simple subject — compound predicate

The lifeboat and its davits were broken loose and swept away.
n n v v

compound subject — compound predicate

OBJECT OF VERB—Verbs may be INTRANSITIVE or TRANSITIVE.
INTRANSITIVE: Smith ran.
TRANSITIVE: He ran the ship aground.
When a verb is transitive its action is transferred to an object, which is a noun in the predicate. The object of the transitive verb above is "ship."

SUBJECTIVE COMPLEMENT—Verbs that express existence and similar ideas usually have either a noun or an adjective in the predicate which is called the subjective complement. If a noun, the word means the same individual as the subject; if an adjective, it completes the verb idea by modifying the subject.

Who is that man?
subj v n predicate nominative

Jones is ill.
subj v adj predicate adjective

OBJECTIVE COMPLEMENT—Sometimes when a verb is transitive, there is a noun or adjective in the predicate that tells how the action of the verb affects the object. This is the objective complement. If a noun, it means the same individual as the object; if an adjective, it modifies the object.

They elected Davis secretary.
subj v obj n obj comp

The fumes made Smith ill.
subj v obj adj obj comp

INDIRECT OBJECT—Sometimes a transitive verb will be followed by a noun or pronoun that shows to or for whom the action was performed. This is the indirect object:

He gave (to) Smith the money.
subj v ind obj obj

The division officer wrote (for) him a chit.
subj v ind obj obj

C. INFLECTION—Words change form in various ways to indicate grammatical relationships. These changes are called inflection. The following are kinds of inflections commonly used:

NOUNS and PRONOUNS—Inflection of nouns and pronouns is called declension. It shows number, case, person, and gender.

NUMBER—Number may be singular or plural.

Singular	deck	man	Jones	he	it
Plural	decks	men	Joneses	they	they

CASE—Case may be nominative, possessive, or objective. Subjects and predicate nominatives are nominative. Words that show possession and subjects of gerunds (explained later in this appendix) are possessive. Objects of prepositions and verbs, indirect objects, objective complements, and subjects and subjective complements of infinitives are objective. (Another name for this case is accusative.)

	The	CPO	explained	our	duties	to	Jones	and	me
Use		subj		pos	obj of v		obj of prep		obj of prep
Case		nom		pos	obj		obj		obj

Nominative	child	Davis	he	it	who	
Possessive	child's	Davis'	his	its	whose	
		(Davis's)				
Objective	child	Davis	him	it	whom	

	He	bought	her	some	flowers	with	his	first	pay.
Use	subj	ind	obj		obj of v		pos		obj of prep
Case	nom		obj		obj		pos		obj

PERSON—Personal pronouns are inflected to show first, second or third person.

	First	Second	Third
Singular	I	you	he, she, it
Plural	we	you	they

GENDER—Nouns, pronouns, and sometimes adjectives are inflected to indicate whether they are masculine (male), feminine (female) or neuter (have no sex).

Masculine—fiance, blond, alumnus (pl. alumni), fox, nephew

Feminine—fiancee, blonde, alumna (pl. alumnae), vixen, niece

Neuter—book, deck, theory, law, sea

VERBS—Inflection of verbs is called conjugation. It shows person, number, tense, voice, and mood.

PERSON—Verbs are inflected to show first, second, or third person.

NUMBER—Verbs may be singular or plural.

TENSE—Verbs have six tenses: present, past, future, present perfect, past perfect, and future perfect.

VOICE—Transitive verbs may be active or passive voice.

MOOD—Verbs may be indicative, imperative, or subjunctive, according to how the writer views the action or state of being.

Indicative—a statement of fact or a question.

He is here.
They are marching.
Has he gone?

Imperative—a command, entreaty, or prayer.

Forward march.
Now hear this.
Please do what you can.
Be Thou our Guide.

Subjunctive—a wish, doubt, possibility, condition contrary to fact, or a recommendation or demand indirectly quoted.

If only he were here!	Wish contrary to fact
If this be treason—	Possibility
If he were coming, he would be here.	Contrary to fact
He urged that I depart Friday	Recommendation indirectly quoted
He directed that it be rewritten.	Demand indirectly quoted

	ACTIVE VOICE		PASSIVE VOICE	
	Singular	Plural	Singular	Plural
INDICATIVE MOOD				
Present Tense				
1st	I see	We see	I am seen	We are seen
2nd	You see	You see	You are seen	You are seen
3rd	He(she,it)sees	They see	He is seen	They are seen
Past Tense				
1st	I saw	We saw	I was seen	We were seen
2nd	You saw	You saw	You were seen	You were seen
3rd	He saw	They saw	He was seen	They were seen

	ACTIVE VOICE		PASSIVE VOICE	
	Singular	Plural	Singular	Plural
	INDICATIVE MOOD–Continued			
Future Tense				
1st	I shall(will) see	We shall(will) see	I shall(will be seen	We shall(will) be seen
2nd	You will(shall) see	You will(shall) see	You will(shall) be seen	You will(shall) be seen
3rd	He will(shall) see	They will(shall) see	He will(shall) be seen	They will(shall) be seen
Present Perfect Tense				
1st	I have seen	We have seen	I have been seen	We have been seen
2nd	You have seen	You have seen	You have been seen	You have been seen
3rd	He has seen	They have seen	He has been seen	They have been seen
Past Perfect Tense				
1st	I had seen	We had seen	I had been seen	We had been seen
2nd	You had seen	You had seen	You had been seen	You had been seen
3rd	He had seen	They had seen	He had been seen	They had been seen
Future Perfect Tense				
1st	I shall have seen	We shall have seen	I shall have been seen	We shall have been seen
2nd	You will have seen	You will have seen	You will have been seen	You will have been seen
3rd	He will have seen	They will have seen	He will have been seen	They will have been seen
	IMPERATIVE MOOD			
Present Tense				
2nd	(You) See	(You) See	(You) Be seen	(You) Be seen
	SUBJUNCTIVE MOOD			
Present Tense				
1st	If I see	If we see	If I be seen	If we be seen
2nd	If you see	If you see	If you be seen	If you be seen
3rd	If he see	If they see	If he be seen	If they be seen

ACTIVE VOICE		PASSIVE VOICE	
Singular	Plural	Singular	Plural

SUBJUNCTIVE MOOD—Continued

Past Tense

1st	If I saw	If we saw	If I were seen	If we were seen
2nd	If you saw	If you saw	If you were seen	If you were seen
3rd	If he saw	If they saw	If he were seen	If they were seen

ADJECTIVES AND ADVERBS

COMPARISON—Many adjectives and adverbs are inflected to show degree; positive, comparative, or superlative.

Positive	young	many	attractively
Comparative	younger	more	more attractively
Superlative	youngest	most	most attractively

(Note: To use the superlative, you must be comparing three or more. If there are only two, one is the YOUNGER, the MORE ATTRACTIVE.)

D. PHRASES—Phrases are of the following kinds:

PREPOSITIONAL—Composed of a preposition and a noun, which is called the object of the preposition. The phrase may also contain adjectives modifying the noun.

Prepositional phrases are used like adjectives to modify nouns or like adverbs to modify verbs.

A group of men		were sightseeing	in the city.
n	prep phrase	v	prep phrase
	mod n		mod v

INFINITIVE – Composed of the sign of the infinitive "to" plus a verb (which together comprise the infinitive form of the verb) and the subject and/or objective nouns that accompany the verb. Modifiers may also be included. Infinitive phrases are used like nouns, adjectives, or adverbs.

	Use of Phrase
He wanted to buy the car. inf. obj	noun - object of "wanted"
She wanted him to buy the car. subj inf obj inf inf	noun - object of "wanted"
He came to see them. inf obj	adverb - shows purpose of "came"
He is the man to receive it. inf obj	adjective - modifies "man"

PARTICIPIAL—Composed of a participle (which is a verb part or verbal) plus whatever nouns and/or modifiers would be appropriate if the complete verb were used. A participle or participial phrase is used like an adjective or to state an idea that would otherwise require an adverbial clause.

Designated for destruction, the documents were removed.
part modifier
part phrase phrase modifies "documents"

He spent a week in London seeing the sights.
part obj

phrase shows how "he spent a week" — part phrase

GERUND—Composed of a gerund (a verb part that may look like a participle but is used like a noun), plus whatever nouns and/or modifiers would be appropriate if the complete verb were used. Gerund phrases are used like nouns.

His sending of semaphore was better than his receiving.
subj ger modifies sending — subj ger
gerund phrase used as subj — gerund phrase used as obj of prep "than"

E. CLAUSES—A clause is composed of a subject and a predicate, either or both of which may be compound.

The man shouted.
simple subj — simple predicate

The man shouted and ran.
simple subj — compound predicate

The man and his son shouted and ran.
compound subj compound predicate

INDEPENDENT CLAUSES—Clauses that stand alone. The main clause of a complex sentence or the coordinate clauses of a compound sentence are independent clauses. (See examples under complex and compound sentences.)

DEPENDENT CLAUSES—Clauses that take the place of one of the parts of speech in relation to the main clause.

Adjective (relative)—
The man who was selected was transferred to the school.
rel clause modifies "man"

Adverbial—
When he found the book he no longer needed it.
adv clause modifies "needed"

Noun—
What he would do nobody knew.
noun clause — obj of verb "knew"

F. SENTENCES CLASSIFIED BY STRUCTURE

SIMPLE—A sentence containing only one clause. (See examples under definition of clause above.)

COMPOUND—A sentence containing two or more independent clauses. Usually these are connected by a COORDINATING conjunction like AND, BUT, OR, but punctuation may be substituted for the conjunction.

She set the table (ind clause) and he tended the bacon. (ind clause)

He built a fire, (ind clause) she cooked, (ind clause) and the guest set the table. (ind clause)

COMPLEX—A sentence containing one independent clause and one or more dependent clauses.

The publications (subj. ind clause) that you require (dependent clause (adj)) will be mailed (pred. ind clause)

as soon as they are available. (dependent clause (adv))

COMPOUND-COMPLEX—A sentence containing two or more independent clauses and one or more dependent clauses.

The publications (subj, ind clause) that you requested (dependent clause) have been mailed, (pred, ind clause)

but the training aids are not available. (second ind clause)

G. SENTENCES CLASSIFIED BY PURPOSE

DECLARATIVE—A sentence which makes a statement.

More than nine-tenths of our sentences are declarative.

INTERROGATIVE—A sentence that asks a question.

When is the report due?

IMPERATIVE—A sentence that expresses an order, a request, or a prayer.

All commands will comply with enclosure (2).
Please close the door.
Deliver us from evil.

EXCLAMATORY—A sentence that expresses excitement or strong feeling.

Oh, that's dangerous!

APPENDIX II

WHERE TO FIND IT

Appendix II is included for your convenience as a quick reference to aid you in the performance of your duties. It contains most of the references that you will frequently use in providing your shipmates with the answers they are looking for. Keep a copy on your desk.

SUBJECT	REFERENCE	
ABBREVIATIONS used in Transfer Directives	BUPERS INST	2340.1
"A" SCHOOLS	TRANSMAN	12
	COMTRAPACINST	P1500.2
	COMTRALANTINST	1540.1
	COMNAVAIRTRAINST	P1550/1
	*NAVPERS	91769
ABSENTEES	PERSMAN	3430100
DD Form 553	PERSMAN	3430150
Disposition of Personal Effects	PERSMAN	3430150
Procedures upon return of	PERSMAN	3430200
ACCIDENTS	PERSMAN	4210100
ACTIVE DUTY AGREEMENTS	PERSMAN	1050200
ADVANCE PAY	PERSMAN	2650100
ADVANCEMENT IN RATE	*NAVPERS	15989
	PERSMAN	2230100
	PERSMAN	2230200
AGE limitations (enlisted)	PERSMAN	1030350
AIR CONTROLMAN PROGRAM	TRANSMAN	9.3
AIR INTERCEPT CONTROLLERS	OPNAVINST	1211.2
AIR TRANSPORTATION	BUPERSINST	4650.14
AIR FORCE APPOINTMENTS	PERSMAN	3840320
ALIENS		
Marriage	PERSMAN	6210160
Naturalization	PERSMAN	6210180
ANNUAL PHYSICAL, Officer	PERSMAN	1860160
ARMED FORCES		
Courier Services	OPNAVINST	2260.5

*Denotes reference material listed on Page 184 by number and title.

SUBJECT	REFERENCE	
ARMED FORCES (CONT'D)		
Police	TRANSMAN	9.12
	BUPERSINST	1630.2
Staff College	*NAVPERS	91769
ARMY APPOINTMENTS	PERSMAN	3840320
ASSOCIATE DEGREE COMPLETION PROGRAM (ADCOP)	BUPERSINST	1510.107
ATTACHE DUTY	TRANSMAN	6.5
AUGMENTATION	PERSMAN	1020120
AUTOMOBILES		
Travel Under Orders	PERSMAN	1810320
AVIATION PILOTS (AP)	TRANSMAN	9.5
AWARDS (Medals)	SECNAVINST	P1650.1
"B"		
"B" SCHOOLS	TRANSMAN	12
	*NAVPERS	91769
BAD DEBT POLICY	PERSMAN	6210140
BALLOTS, Absentee	PERSMAN	6210220
BAQ (Basic Allowance for Quarters	PERSMAN	2640200
	DODPM	Part 3
BAS (Basic Allowance for Subsistence)	PERSMAN	2640100
	DODPM	Part 3
BASIC TEST BATTERY	PERSMAN	1440220
Retesting	PERSMAN	1440260
BIOGRAPHIES, Officer	PERSMAN	5020140
BCNR (Board for Correction of Naval Records)	PERSMAN	5040200
BLOOD BANKS	BUMEDINST	6530.6
BROKEN SERVICE	PERSMAN	1040300
BUREAU OF NAVAL PERSONNEL		
Correspondence with	PERSMAN	5410160
Instructions, Publications	PERSMAN	5420100
Manual	*NAVPERS	15791
BURKE PROGRAM	BUPERSINST	1520.92
BRIGS	BUPERSINST	1640.5
Corrections Manual	NAVPERS	15825

*Denotes reference material listed on Page 183 & 184 by number and title.

SUBJECT	REFERENCE	
"C"		
CAPTAIN'S MAST	MCM	XXVI
CAREER COUNSELING PROGRAM	TRANSMAN	9.20
Counseling Guide	*NAVPERS	15878
CASUALTIES	NAVPERS	15879
Reports	PERSMAN	4210100
CENSORSHIP	OPNAVINST	5530.1
CHANGE IN RATE OR RATING	*NAVPERS	15989
	PERSMAN	2230100
CHARITY DRIVES	SECNAVINST	5340.1
CHOICE OF DUTY REQUESTS	TRANSMAN	27
CITIZENSHIP		
Foreign Nationals/Immigrant Aliens	OPNAVINST	5510.1
CIVIL READJUSTMENT	BUPERSINST	1571.16
	PERSMAN	2650280
CIVIL SUITS, Official Vehicle Use	JAGINST	5822.2
CLAIMS, Personal	PERSMAN	2660100
CLASS "E" MESSAGES	DNC-5D	5100, 5110b.
CLEMENCY	SECNAVINST	5815.3
CLOTHING, Monetary Allowance	DODPM	Part 3
COAST GUARD APPOINTMENTS	PERSMAN	3840320
CODE OF CONDUCT	PERSMAN	6610100
COLLEGE		
Early Discharge	PERSMAN	3850220
GI Bill	*NAVPERS	15229
COMMERCIAL SOLICITORS	SECNAVINST	1740.1
COMMUTED RATIONS	PERSMAN	2640150
CONGRESSIONAL CORRESPONDENCE	PERSMAN	5410120
CONSCIENTIOUS OBJECTORS	PERSMAN	1860120
CONSTRUCTIVE SERVICE	PERSMAN	2630100
CONSULAR AUTHORITY	OPNAVINST	5402.1
CO ORDER NUMBERS	MPP	PARA 90401
CORRESPONDENCE COURSES	*NAVTRA	10061
USAFI	NAVPERS	15857
College & University	*NAVPERS	15819
CORRECTIONS MANUAL	NAVPERS	15825
CREDIT RATING	PERSMAN	6210140
Union	SECNAVINST	5381.3
CRUISE BOOKS	OPNAVINST	5070.1
CUSTOMS	PERSMAN	6210300
	JAGINST	5840.2
	JAGMAN	CHAP XVIII

*Denotes reference material listed on Page 183 & 184 by number and title.

SUBJECT	REFERENCE	
CUSTOMS (CONT'D)		
. . . . .		
. . . . .		
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"D"		
DEATH GRATUITY	PERSMAN	5030240
DECEDENT AFFAIRS	SECNAVINST	5360.3
	PERSMAN	4210240
DD98	SECNAVINST	5521.6
DD214N	BUPERSINST	1900.2
DD1173	BUPERSINST	1750.5
DEEP FREEZE, Antartic Expedition Program	TRANSMAN	9.4
DEMONSTRATIONS, Participation in		
Civil Rights	PERSMAN	3420420
Political	PERSMAN	6210240
DEFINITIONS, Military	JCS	Pub-1
DEPENDENTS		
Certificates, Annual	MPP	PARA 30226
Cruises	OPNAVINST	5720.2
ID Cards	BUPERSINST	1750.5
Schooling	PERSMAN	6210110
Outside CONUS	BUPERSINST	1300.26
DEPENDENTS INDEMNITY COMPENSATION	BUPERSNOTE	1772
DESERTERS	PERSMAN	3430100
DISCHARGE		
Buttons and Pins	PERSMAN	3810340
Certificates	PERSMAN	3850140
DISABILITY RETIREMENT CLAIMS	PERSMAN	3860360
	PERSMAN	3810220
DISLOCATION ALLOWANCE	PERSMAN	2640250
DIVING PROGRAM	OPNAVINST	9940.1
Duty	PERSMAN	1410380
Pay	PERSMAN	2620200
DIVINE SERVICES	PERSMAN	5810150
DOG TAGS	PERSMAN	4610150
DOSIMETERS	OPNAVINST	3441.2
DOWNGRADING, Automatic	OPNAVINST	5500.40
DUTY		
ADDU	PERSMAN	1810100
Assignments of Chief, Senior Chief and Master Chief Petty Officers	TRANSMAN	28
DUINS	TRANSMAN	12.3
Exchange	TRANSMAN	16.2
TEMADDINS	TRANSMAN	12.3
TEMADDU	PERSMAN	1810100
TEMADDHOSP	TRANSMAN	21.32

SUBJECT	REFERENCE	
TEMDUHOSP	TRANSMAN	21.32
With relative	TRANSMAN	16.4
DOD (Organization)	SECNAVINST	5410.85

"E"

EARLY SEPARATION		
College Enrollment	PERSMAN	3850220
Reenlistment	PERSMAN	3840240
EDUCATIONAL SERVICES	NAVPERS	15229
EMPLOYMENT, Part Time, Civilian	PERSMAN	3420500
EMERGENCY LEAVE	PERSMAN	3020075
Overseas	PERSMAN	3020400
ENLISTED RETENTION PROGRAM	BUPERSINST	1133.3
ENLISTED PERFORMANCE EVALUATION SYSTEM	PERSMAN	3410150
ENLISTMENTS	PERSMAN	1040150
USNR to USN	BUPERSINST	1130.4
EPDO	TRANSMAN	2
EXAMINATIONS		
Administration of	NAVPERS	15989
USAFI	NAVPERS	15857
EXCESS LEAVE	PERSMAN	3020075
EXCHANGE OF DUTY	TRANSMAN	16.2
EXPLOSIVE DEMOLITION DUTY	PERSMAN	1420180
EXTENSION OF ENLISTMENT	PERSMAN	1050150
Cancellation	PERSMAN	1050150
Lost Time	PERSMAN	3840180
Of Active Duty (Reserves)	PERSMAN	1050200
EXOS	SECNAVINST	5430.1

"F"

FAMILY SERVICE CENTERS	OPNAVINST	1740.1
FAMILY SEPARATION ALLOWANCE (FSA)	DODPM	Part E

SUBJECT	REFERENCE	
FILIPINOS		
Leave	PERSMAN	3020440
Separation	PERSMAN	3810420
FINGERPRINTS	PERSMAN	4630100
FIRST AID TRAINING	PERSMAN	6610160
FITNESS REPORTS	BUPERSINST	1611.12
	PERSMAN	3410125
FLEET RESERVE	PERSMAN	3855180
Retainer Pay	PERSMAN	2630100
FLIGHT TRAINING	BUPERSINST	1520.20
FOREIGN TRAVEL	PERSMAN	3020420
FOOD MANAGEMENT TEAM PROGRAM	TRANSMAN	9.6
FRAUDULENT ENLISTMENT	PERSMAN	3420240
FUND RAISING DRIVES	SECNAVINST	5340.1

"G"

GENEVA CONVENTION CARDS	PERSMAN	4620100
GMT	OPNAVINST	1500.22
GIFTS, Acceptance of	SECNAVINST	5370.2
GOOD CONDUCT		
Medal	SECNAVINST	P1650.1
	PERSMAN	3410150
Time (Confinement)	NAVPERS	15825

"H"

HAZARDOUS DUTY	PERSMAN	2620150
HISTORY CARD, Officer	PERSMAN	1820140
HM "A" SCHOOL	BUMEDINST	1510.11
HEALTH BENEFITS, Dependents	*NAVPERS	15203
HOME		
Of Record	PERSMAN	5010140

*Denotes reference material listed on Page 183 by number and title.

SUBJECT	REFERENCE	
HOME (CONT'D)		
Ports	OPNAVINST	3111.14
United States Naval	PERSMAN	6210280
HOMOSEXUALITY	PERSMAN	3420180
HOUSEHOLD GOODS	JTR	Chapter 8
HOUSING, Responsibilities of the tenant	SECNAVINST	11101.55
HUMANITARIAN		
Discharge	PERSMAN	3850240
Duty	TRANSMAN	18
	PERSMAN	3020075
HOSPITALIZATION	PERSMAN	3420220
	PERSMAN	5010260
	TRANSMAN	21
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"I"		
IDENTIFICATION		
Cards	BUPERSINST	1750.5
	PERSMAN	4620150
Tags	PERSMAN	4610150
IMMUNIZATION	BUMEDINST	6230.1
INCOMPETENT OR SUBSTANDARD PERFORMANCE		
Discharge	PERSMAN	3850220
Reduction in Rate	PERSMAN	3420140
Reenlistment	PERSMAN	3410150
INDEBTEDNESS	PERSMAN	6210140
INJURY REPORTS	JAGMAN	CHAP VII
INSURANCE		
Automobile	SECNAVINST	5560.1
Government	PERSMAN	6230120
Solicitation, Commercial	SECNAVINST	1740.1
	SECNAVINST	1740.2
Counselor's Guide to	*NAVPERS	15212
INSULAR FORCE	PERSMAN	1860220
INSTRUCTOR DUTY	TRANSMAN	5
INTERFLEET TRANSFERS	TRANSMAN	3.29
INVESTIGATIONS	JAGMAN	CHAP II THRU X
INVESTIGATORS	TRANSMAN	9.10

*Denotes reference material listed on Page 183 by number and title.

SUBJECT	REFERENCE	
INVESTIGATORS (CONT'D)		
. . . . .		
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"J"		
JURISDICTION		
CO, NJP	MCM	XXVI
	UCMJ	ART 15
	JAGMAN	0101
Shore Patrol	BUPERSINST	1630.2
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"L"		
LANGUAGE TRAINING	OPNAV	1520.17
LARCENY OFFENSES	JAGMAN	0145
LAST TWO YEARS OF DUTY	TRANSMAN	19
LEAVE		
Policy	PERSMAN	3020075
	PERSMAN	3020420
Computation	PERSMAN	3020200
Definitions	PERSMAN	3020050
Emergency	PERSMAN	3020075
Entitlement	PERSMAN	3020100
Outside U.S	PERSMAN	3020420
LEGAL ASSISTANCE PROGRAM	SECNAVINST	5801.1
LETTERS OF CENSURE	PERSMAN	3410100
	JAGMAN	0102
LETTERS OF COMMENDATION	PERSMAN	3410200
LIBERTY		
Authority	PERSMAN	3020075
Definition	PERSMAN	3030100
Pass	PERSMAN	3030200
LIMITED DUTY		
Designators	PERSMAN	1830120
Officer Program	BUPERSINST	1120.18
LIBRARIES	PERSMAN	6640100
LOST TIME	PERSMAN	3840180
LTJG, Program to	SECNAVINST	1412.6

SUBJECT	REFERENCE	
LTJG (CONT'D)		
. . . . .		
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"M"		
MAAG DUTY	TRANSMAN	6.5
MANPOWER AUTHORIZATIONS	OPNAVINST	1000.16
MARRIAGE, Outside CONUS or to an Alien . . .	SECNAVINST	1752.2
	PERSMAN	6210160
MEDALS AND AWARDS	SECNAVINST	P1650.1
MEDICAL CLAIMS	BUMEDINST	6320.32
MEDICAL SERVICE CORPS	BUPERSINST	1120.15
MERCHANT MARINE APPOINTMENTS	PERSMAN	3840340
MESS COOKS	NAVSUPMAN	37619
MILITARY APPEARANCE	PERSMAN	3420440
MISSING SHIP	PERSMAN	3430150
MORAL TURPITUDE CASES	JAGMAN	0123f
MORTGAGE INSURANCE	SECNAVINST	1741.4
MSTS TRAVEL	SECNAVINST	4650.10
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"N"		
NATURALIZATION	PERSMAN	6210180
NAVAL ACADEMY APPOINTMENT	PERSMAN	1020220
NAVAL ENLISTED CLASSIFICATION	NAVPERS	15105
	PERSMAN	1440200
NAVAL INTELLIGENCE CLERK PROGRAM .	TRANSMAN	9.10
NAVAL MANPOWER INFORMATION SYSTEM	NAVPERS	15642
NAVY RELIEF SOCIETY	PERSMAN	3450150
NAVAL SECURITY GROUP DUTY		
Enlisted	TRANSMAN	9.9
Officer	BUPERSINST	1331.2
NAVPERS 792	PERSMAN	3410150
NAVY BASIC TEST BATTERY	PERSMAN	1440220
NEDEP	BUPERSINST	1120.38
NENEP	BUPERSINST	1120.37
NESEP	BUPERSINST	1510.69

SUBJECT	REFERENCE	
NEW CONSTRUCTION DUTY	TRANSMAN	15
NO COST TRANSFERS	TRANSMAN	16
NON-COMPLIANCE (Orders)	TRANSMAN	24.32
NON-RECEIPT OF RECORDS	PERSMAN	5010280
NOTARY PUBLIC	JAGMAN	CHAP XXV
NROTC PROGRAM	BUPERSINST	1533.62
	PERSMAN	0110040
NUCLEAR POWER TRAINING PROGRAM	TRANSMAN	11
NUCLEAR TRAINING, ENLISTED	BUPERSINST	1306.64
NUCLEAR TRAINING, OFFICER		
Submarines	PERSMAN	6610320
Surface	PERSMAN	6610300
Nuclear Weapons Training	BUPERSINST	5510.11

"O"

OATHS, Administration of	UCMJ	ART 0139
	JAGMAN	CHAP XXV
OFFICER		
Candidate Program	BUPERSINST	1120.35
Biographies	PERSMAN	5020140
Classification	NAVPERS	15839
Data Card	BUPERSINST	1301.34
Designator	PERSMAN	1430100
Duty Preference	PERSMAN	1820140
Educational Level	PERSMAN	5020220
Fitness	BUPERSINST	1611.12
	PERSMAN	3410125
Photographs	PERSMAN	5020140
Physical Examinations	BUPERSINST	6120.3
Promotion	PERSMAN	2220100
Qualification Questionnaire	PERSMAN	5020180
OVERSEAS DUTY	BUPERSINST	1300.26
	TRANSMAN	6

SUBJECT	REFERENCE	
"P"		
PASSPORTS	PERSMAN	4640100
	BUPERSINST	4650.14
PHOTOGRAPH, Officer	PERSMAN	5020140
PHYSICAL FITNESS	BUPERSINST	6100.2
POSTAL CLERKS	PERSMAN	1410420
POSTGRADUATE PROGRAM	BUPERSINST	1520.50
PRACTICAL FACTORS	PERSMAN	2230120
PRECEDENCE AMONG ENLISTED MEMBERS	PERSMAN	2210150
PROCEED TIME		
Enlisted	PERSMAN	1830160
Officer	PERSMAN	1810240
PRIVATE VEHICLES (POV) TRAVEL	PERSMAN	1810320
PROJECT TRANSITION	NAVPERS	93947
PROMOTION, OFFICERS	PERSMAN	2220100
Physical Qualifications	PERSMAN	2220150
PROPAY	BUPERSINST	1430.12
"Q"		
QUALIFICATION		
Enlisted, Advancement	NAVPERS	18068
Officer	NAVPERS	15839
QUOTAS	TRANSMAN	12.3
"R"		
RATION MEMORANDUM	NAVSUPINST	4061.1
RECORDS		
Disposal	SECNAVINST	5212.5
Transfer of	PERSMAN	5010260
RECOUPMENT OF BONUS	PERSMAN	3840160
RECREATION	BUPERSINST	7010.2
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*Denotes reference material listed on Page 183 & 184 by number and title.

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NP 1510/7 . . . . . Project Transition T-1 Data Cards
NP 1510/8 . . . . . Project Transition T-2/3 Data Cards
OVRR-2 . . . . . Reemployment Rights and Employment Data

PUBLICATIONS

NT 10052 . . . . . Training Publications for Advancement in Rating
NT 10061 . . . . . List of Training Manuals & Correspondence Courses
NP 10848 . . . . . Personnel Administration
NP 15203 . . . . . Uniformed Services Health Benefits Program
NP 15212 . . . . . Armed Forces Life Insurance Counselor's Guide with Supplement included
NP 15229 . . . . . Educational Services Manual
NP 15791 . . . . . Bureau of Naval Personnel Manual
NP 15819 . . . . . Correspondence Courses Offered by Colleges and Universities thru USAFI
NP 15826 . . . . . Guide to Interviewing
NP 0 - #605 . . . . . ALL HANDS - Seavey/Shorvey Roundup
NP 0 - #611 . . . . . ALL HANDS - Educational Opportunities

TYPE & NUMBER	TITLE
NP 0 - #619	ALL HANDS - Managing Your Finances
NP 15878	Career Counseling Guide
NP 15887	Now Hear This, published monthly by BUPERS (Pers-B2211) and distributed to all commands
NP 15909	Enlisted Transfer Manual
NP 15934	Leadership Support Manual
NP 15945	Tables of Percentage Reduction of Retired Pay, Under RSFPP
NP 15959A	Career Counselor's Kit
NP 15959	Binder for Career Counselor's Kit
NP 15989	Manual of Advancement in Rate or Rating
NP 18068	Manual of Qualifications for Advancement in Rating
NP 18436	Comparative Occupational Pay Brief
NP 91769	Formal Schools Catalog (BUPERS)
NP 93947	Project Transition Manual
NAVEXOS P604A	Military Pay & Allowances Entitlement Manual
NAVEXOS P1459	U.S. Navy Travel Instructions
NAVEXOS P6034	Joint Travel Regulations, Vol. 1 & 2
VA 29-66-1	Serviceman's Group Life Insurance Handbook
	College Placement Annual

HANDOUTS

NP 10802	Useful Information for Newly Commissioned Officers
NP 15124	Opportunities for Advancement
NP 15126	Choice of Duty
NP 15132	Facts for Figuring Your Future
NP 15136	Your Career Planner
NP 15137	Nuclear Challenge for Able Navymen
NP 15138	NESEP for Navymen
NP 15139	Reenlist for "B" or "C" School
NP 15140	STAR Program
NP 15141	SCORE Program
NP 15154	The Navy "Yes" or "No"
NP 15203	Uniformed Services Health Benefits Program
NP 15221	Credit - Master or Servant
NP 15855	Once a Veteran
NP 15863	Disability Separation
NP 15891	Navy Guide for Retired Personnel and Their Families
NP 15895	Your New Career, Planning for Retirement
NP 15900	Your Personal Affairs
NP 15926	Retired Serviceman's Family Protection Plan
NAVSUP PUB 380	It's Your Move
DOD FS-7B	United States Savings Bonds
DOD FS-35	Your Personal Savings Program
DOD FS-38	Military Medical Benefits Expanded
VA 20-67-2	for You. . . from a grateful nation

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. . . Educational Directory, Higher Education, Part 3 (current year)
. . . A Guide to the Evaluation of Educational Experiences in the Armed Services, Turner, 1968, American Council on Education, Washington, D.C.
. . . The Bulletin, Number 5 - State Department of Education Policies for the Issuance of High School Certificates Based on GED Test Results and Granting of High School Credit for Military Educational Experiences, JAN 1966
. . . The Bulletin, Number 8 - Granting Credit for Service School Training, January 1959
. . . The Bulletin, Number 10 - Opportunities for Educational and Vocational Advancement: GED Testing Program, Comprehensive Testing Program, USAFI Courses and Tests, June 1965
. . . USAFI Standard Nomenclature List
. . . USAFI Catalog

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SSI 29 . . . . . If You Become Disabled (Social Security)
SSI 31A . . . . . Social Security for Servicemen and Veterans
SSI 35 . . . . . Your Social Security
SSI 43 . . . . . Health Insurance for People 65 and Over
SSI 44 . . . . . Your Social Security Earnings Record
SSI 47 . . . . . Social Security Benefits (Foldout)
SSI 48 . . . . . Social Security Benefits for Students up to age 22
SSA 609 . . . . . Social Security Benefits Outside the United States
SSI 855 . . . . . Social Security Benefits, How You Earn Them, How Much Credit You Need

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. . . Lovejoy's Scholarship Guide, Clarence E. Lovejoy, Simmon & Schuster, Inc., N.Y., N.Y. (current year)

. . . Uniformed Service Almanac, Lee E. Sharff - Mail all Orders and Communications To: Uniformed Services Almanac, P.O. Box 400, Washington, D.C. 20044

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